

A STUDY OF SELECTED PERSONNEL  
MANAGEMENT PROCEDURES USED IN THE  
EMPLOYMENT OF GRADED CIVIL SERVICE  
EMPLOYEES AT NAVAL SHORE ACTIVITIES

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A Thesis

Presented in Partial Fulfillment of the Requirements  
for the Degree Master of Business Administration

By

DONALD PAIGE REID, B.A.  
The Ohio State University

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## CHAPTER I

### THE PROBLEM

#### Introduction

The average Naval Officer, whether of the line or of the staff corps, is trained almost entirely, so far as personnel management is concerned, in the administration of military personnel. The major sources of officer candidates are the United States Naval Academy in Annapolis, and the fifty-two Naval Reserve Officer Training Corps Units in various colleges and universities. The training in both courses prepares the young officer for the initial billet of Division Officer afloat, an administrative position largely concerned with military personnel and training. And this training given the young officer is proper, for the average officer spends his first tour of commissioned duty, a period of from two to seven years, on a ship of the United States Navy. Indeed, a goodly percentage of his entire Naval career is spent on duty afloat.

On such duty, the Naval officer is in a strictly military world, his execution of personnel management having to do either with junior officers or with enlisted personnel. Contrary to popular belief, the Naval officer who is successful in the administration of military personnel employs the



same principles of good personnel management used by the successful executive in civilian industry. The days of "wooden ships and iron men" have long since disappeared, and the modern American bluejacket is an intelligent and skilled individual, who responds to the same motivations as the intelligent and skilled employee in civilian industry.

But what happens when the officer gets those long awaited orders to shore duty? He will probably be stationed at a large shore activity staffed almost entirely with civil service personnel. His enlisted men will be replaced by civilian clerks, and his chief petty officers by civilian supervisors. Thus he finds himself in a strange new world of performance ratings and job sheets, of grievances and periodic salary increases, of NOPI and Civil Service Commission regulations. The officer will likely find himself confused, and come to depend more and more on his civilian supervisors to perform those personnel management duties which he himself should be performing. In this way he will have abdicated a portion of his executive responsibility.

#### The Problem and Its Importance

Hence the Naval officer ashore is concerned with the application of familiar personnel management principles to an unfamiliar situation. His greatest problem is mastery of the procedures established by law for the administration of civil service personnel. Within this framework of rules and



regulations, the same principles of personnel management employed with military personnel may be used to solve those personnel problems which arise with civil service employees. However, the understanding of these procedures and a recognition of the problems likely to arise in their application is a time-consuming process. In the meantime, the officer may be actually solving personnel problems improperly, although with good intentions, to the detriment of the organization. And when it is remembered that at the present time there are more than 100,000 graded civil service employees in the Naval establishment, all of whom are directly or ultimately under Naval officer supervision, the problem multiplies. One civilian employee was heard to say, "For the first six months the officer did more harm than good, for the next six months he didn't do any harm, for the rest of the time he did us a lot of good, but at the end of two years he was transferred and now we have to go through the same process again." And as another civilian supervisor expressed to the writer, "It's not the personnel problems we have with the employees, but the management problems we have with the officers that give us the headaches."

#### Purpose of the Study and Method of Attack

The purpose of this study is to prepare a document which will assist the Naval officer concerned with the administration of graded civil service employees to arrive





more quickly at that point where "he did us a lot of good." An analysis will be made of procedures in the following six areas of personnel management with which most problems of daily employee-management relations are concerned in Naval shore activities:

Position Classification

Recruitment and Employment

Performance Ratings

Promotions and Demotions

Leaves of Absence

Disciplinary Action, Grievances, and Appeals

Some of the problems which arise in the application of those procedures will be discussed, and guide-posts of action will be pointed out. Thus, it is the purpose of this thesis to provide the Naval officer with a brief digest of ready information and suggestions to assist him in the personnel management of graded civil service employees in Naval shore activities.

#### Limitations of the Study

While there are many areas of personnel management, this study is confined to those six areas which seem most important in day-to-day employee-management relations. It is felt that a survey of the procedures and problems in these six areas will provide the basic personnel tools necessary in the administration of graded civil service employees in



the Navy.

A second limitation to this study is that it is confined to a discussion of the procedures and problems as they affect graded civil service employees and does not include the non-graded civil service employees of the Navy. While similar, the procedures affecting non-graded employees are of sufficient difference to necessitate their exclusion. The distinction between graded and non-graded employees is discussed in Chapter III.

The last limitation to the study is that no attempt is made to cover those provisions of procedure which apply only in the rare case. It is felt that, for the purposes of the study, such exceptions would tend to confuse, rather than to clarify the problem.

### Organization of Remainder of the Thesis

In the presentation of this thesis, the remainder is organized as described in the following paragraphs.

Chapter II is a review of current definitions of "Personnel Management." A number of definitions of the term as given by leading authors and industrialists are discussed and compared. The definition as established by the Navy Department is studied. A working definition of "Personnel Management" as it is used in this study is developed. And finally the specific objectives of personnel management are discussed.



In Chapter III, the question, "Why Civilian Employees in the Navy?" is discussed. Four basic reasons are given for the employment of civil service personnel rather than all military personnel at Naval shore activities. The distinction between a graded civil service employee and a non-graded one is made in this chapter.

The Navy's industrial relations establishment is widespread and complex. A knowledge of its organization and functions, particularly as they relate to the individual Naval shore activity, is mandatory for any Naval officer responsible for the administration of civil service personnel. These subjects are discussed in Chapter IV.

Chapters V through X are devoted to a discussion of the six areas of personnel management, each chapter being concerned with the area indicated:

- Chapter V - Position Classification
- Chapter VI - Recruitment and Employment
- Chapter VII - Performance Ratings
- Chapter VIII - Promotions and Demotions
- Chapter IX - Leaves of Absence
- Chapter X - Disciplinary Action, Grievances, and Appeals

Within each area, the personnel management procedures involved, as prescribed by Federal law, Civil Service Commission Regulations, and Navy Department Regulations, are discussed. Problems likely to arise from the application of



these procedures, and solutions available at the local activity level are also discussed. The viewpoint is that of the officer in an operating department, rather than that of the Industrial Relations Officer.

Chapter XI concludes this study with a summary of basic personnel management principles and policies applicable to the administration of graded civil service employees with emphasis on the policies of the Navy Department.





## CHAPTER II

### PERSONNEL MANAGEMENT

#### General

Before discussing procedures of personnel management, it is most appropriate to define the term and determine the objectives of these procedures. This will avoid a problem similar to that of the three blind men who described the elephant. Each assumed that it was like the particular part he had felt--a leg, the trunk, a side--and thus each had a different definition or description of the beast, resulting in a confusion of words.

While this thesis is concerned with a phase of personnel management in the Naval establishment, this discussion of definitions and objectives will be based mainly on civilian sources--the leading authors and industrialists in the field. But this is not improper, for, as the Cushmans, who have served in both civilian and Naval organizations, have said:

...the supervisor's job, as far as dealing with problems of human engineering is concerned, is essentially the same everywhere. The nature of the industry or business seems to make little or no difference in matters that relate to dealing with people. Human nature is much the same wherever people are employed.<sup>1</sup>

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<sup>1</sup>Frank Cushman and Robert W. Cushman, Improving Supervision (New York: John Wiley and Sons, Inc., 1947), p. X.



Since the First World War, that is, within the last thirty years, there has been an increasing emphasis on the personnel function, both within civilian industry and within government. Why? Pigors and Myers,<sup>2</sup> in their discussion of this matter, have listed the following as reasons:

1. Labor shortages of the First World War.
2. The growing attention by management to the welfare of employees.
3. The scientific management movement inaugurated by Fredrick W. Taylor.
4. The spread of unionism.
5. Increasing government intervention in employee-employer relationships.
6. Personnel research using the social sciences of psychology, sociology, anthropology, and economics.
7. The labor problems of the Second World War.

To these may be added, as suggested by another writer, the technological changes in industry, commerce, and communications.<sup>3</sup> The employee-employer relationship has changed greatly with the rise of mass industry and the expansion of government.

### Definition

But what is this thing called personnel management (or personnel administration as it is often called) and what does

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<sup>2</sup>Paul Pigors and Charles A. Myers, Personnel Administration (New York: McGraw-Hill Book Company, Inc., 1947), p. 4.

<sup>3</sup>Michael J. Jucius, Personnel Management (Chicago: Richard D. Irwin, Inc., 1947), p. 12.



it encompass? There can be found as many definitions as there are writers on the subject, so it will be worthwhile to consider a few at this time.

Yoder uses as his definition the following:

Personnel Management is that phase of management which deals with the efficient control of manpower, as distinguished from those phases which are concerned with all other sources of power.<sup>4</sup>

An industrialist, Thomas G. Spates, has given as his definition:

Sound personnel administration means so organizing and treating people at work that they will utilize their maximum capacities, thereby attaining maximum personal and group satisfaction and rendering their maximum service to the enterprise of which they are a part.<sup>5</sup>

An experienced personnel executive, Lawrence A. Appley, President of the American Management Association, has a simple definition, "Personnel administration is that activity of management which deals with human resources."<sup>6</sup>

The Department of the Navy has published as a definition, "Personnel administration may be defined as the science of getting things done through the planning, supervision, direction and coordination of human activity."<sup>7</sup>

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<sup>4</sup>Dale Yoder, Personnel and Labor Relations (New York: Prentice-Hall, Inc., 1941), p. 2.

<sup>5</sup>Thomas G. Spates, "An Objective Scrutiny of Personnel Administration," Personnel Series Number 75 (New York: American Management Association, 1944), p. 9.

<sup>6</sup>Lawrence A. Appley, "The Significance of Personnel Administration in the Modern Corporation," Personnel Series Number 111 (New York: American Management Association, 1947), p. 3.

<sup>7</sup>Personnel Administration (Washington: Bureau of Naval Personnel, Department of the Navy, 1949), p. 11.



And at the risk of undue length, a quotation from another authority:

Personnel administration is the planning, supervision, direction, and coordination of those activities of an organization which contribute to realizing the defined purposes of that organization with a minimum of human effort and friction, with an animating spirit of cooperation, and with proper regard for the genuine well-being of all members of the organization.<sup>8</sup>

Thus it may be seen that, while each of the authorities quoted above has emphasized certain different facets of the subject, they are all quite close in their thinking. The essence of what is meant by personnel management, and a definition which serves to summarize the concepts discussed above, is contained in the following by Jucius:

- Personnel management is the field of management which -
1. Has to do with planning, organizing, and controlling the performance of various activities concerned with processing, developing, maintaining, and utilizing a labor force such that
  2. The objectives and purposes
    - a. For which the company is established are attained as effectively and economically as possible, and
    - b. Of labor itself are served to the highest degree.<sup>9</sup>

This will be taken as the definition to be used in this study, the only modification necessary in order to apply it to the Naval situation is to substitute "Naval Activity" for "company."

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<sup>8</sup> Ordway Tead and Henry C. Metcalf, Personnel Administration (New York: McGraw-Hill Book Company, Inc., 1933), p. 2.

<sup>9</sup> Jucius, op. cit., p. 7.





### Objectives

According to Webster's Dictionary, an objective is "an aim or end of action; point to be hit or reached." Mooney and Reiley say much the same thing in, "An objective is only another name for a human aim or purpose, and it can be justified only by the worthiness of its purpose."<sup>10</sup>

What are the objectives of personnel management procedures? They have been hinted at by all of the definitions quoted in the section above, but they have been well stated by one authority in the following:

The objectives of Personnel Management, Personnel Administration, or Industrial Relations in an organization is to attain maximum individual development, desirable working relationships between employers and employees, and employees to employees, and effective molding of human resources as contrasted with physical resources.<sup>11</sup>

In a discussion of the principles of personnel management, Mooney and Reiley have pinpointed these objectives even finer:

These principles all have the definite objective of man building. Any system of personnel management that swerves from this aim and purpose is likely to produce results that will be negative and disappointing.<sup>12</sup>

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<sup>10</sup>James D. Mooney and Alan C. Reiley, Onward Industry! (New York: Harper and Brothers, Publishers, 1931), p. xiii.

<sup>11</sup>Walter D. Scott, Robert C. Clothier and William R. Spriegel, Personnel Management (New York: McGraw-Hill Book Company, Inc., 1948), p. 23.

<sup>12</sup>Mooney and Reiley, op. cit., p. 522.



Thus it may be concluded that the objectives of personnel management procedures are concerned with the maximum utilization of the human resources of the organization in the accomplishment of the objectives of the activity. It is in this field of human engineering that the greatest advancement may be made by any supervisor, civilian or Naval.

But it must be clearly understood that, in a Naval shore activity, the responsibility for the performance of the personnel function does not rest entirely with the Industrial Relations Department. This is a concept erroneously held by so many supervisors, both Naval officers and civilians. The Industrial Relations Department is a staff organization whose function is to recommend, interpret, advise, and counsel the operating departments in the performance of the personnel management procedures. The concept involved has been well stated in the following passage:

It has been repeatedly affirmed that, no matter how capable the members of the personnel staff may be, no matter how excellent the plan on which the activities are based, the personnel program cannot be successful unless the line organization is 'doing a good personnel job at the workbench.' Therein lies the major clue to the proper relationship between the line and staff organizations in the matter of personnel policy and practice.<sup>13</sup>

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<sup>13</sup>"How to Establish and Maintain a Personnel Department," Research Report Number 4 (New York: American Management Association, 1944), pp. 12-13.



Hence it is the individual supervisors and executives, civilians and Naval officers, who will be responsible for the success of the personnel program. This must be borne in mind by every Naval officer charged with the administration of civil service personnel. Personnel management is basically, as Appley emphasized, "A management activity and a management responsibility."<sup>14</sup>

To conclude then, personnel management procedures in a Naval shore activity are concerned with the performance of those activities necessary to attain the maximum utilization of the human resources, the labor force, in order to accomplish the objectives of the activity and of the employees. In the Naval establishment the accomplishment of these ultimate objectives will result in an effective fighting fleet for the preservation and defense of the United States.

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<sup>14</sup> Appley, op. cit., p. 3.



## CHAPTER III

### WHY CIVILIAN PERSONNEL?

#### Advantages of Civilian Personnel

Why does the Navy, a military organization, employ large numbers of civilian personnel in its shore activities? Cannot the Navy accomplish its military objectives using only military personnel? The answer to that question is a definite "No!"

Civilian employees are a vital component of the Navy's total resources of manpower in both wartime and peacetime.<sup>1</sup> Indeed, at the end of World War II, the Navy had about 752,000 civilian employees.<sup>2</sup> They presently range from nuclear physicists to elevator operators. The variety of positions they fill is tremendous. They are the technicians at the drafting boards, the key civilian administrators, the clerical workers in Navy offices, and the skilled artisans in Navy industrial activities.<sup>3</sup> They are employed at Naval shore activities both in the continental United States and in

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<sup>1</sup> Personnel Administration (Washington: Bureau of Naval Personnel, Department of the Navy, 1949), p. 51.

<sup>2</sup> 63d Annual Report, United States Civil Service Commission (Washington: United States Government Printing Office, 1946), p. 2.

<sup>3</sup> Personnel Administration, op. cit., p. 21.





hundreds of stations throughout the world. They represent many nationalities, races and creeds.

Specifically, there are four distinct advantages in the employment of civilian personnel in Naval shore establishments:

1. In numerous cases, they possess specialized technical and administrative training and knowledge not available among military personnel. An example of this would be a specialist in achievement test construction employed at the Naval Examining Center in Norfolk.

2. They promote the stability of the Navy's work force ashore, and provide a nucleus of trained personnel for expansion in an emergency. Most Navy employees are local people who are interested in their jobs, in their organizations and in their communities.

3. The more civilians used in non-military jobs, the greater is the number of military personnel that can be released for assignments requiring military skill.<sup>4</sup>

4. They provide continuity of administration in an organization of frequently changing military personnel. The military come and go; the civilians provide permanency.

#### Definition of a Graded Employee

There are two major groups of civil service employees in the Navy--graded and ungraded. The ungraded employees are

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<sup>4</sup> Loc. cit.



the "blue collar" workers. They are divided into four groups, as follows:<sup>5</sup>

Group I -- Common laborers and other unskilled workers (this group is gradually passing from use).

Group II -- Skilled laborers and helpers in the crafts and trades.

Group III -- Skilled mechanics and craftsmen.

Group IVa -- Supervisors over Groups I, II, and III (Shop Masters, Foreman, Quartermen, Leadingmen, etc.)

The pay of nearly all ungraded employees is set locally and is based on hourly rates. These employees were formerly paid by the day, so they are still sometimes referred to as "per diem" employees. The ungraded positions are not subject to the Classification Act of 1949 (Public Law 429, 81st Congress). The bulk of these positions are at Naval industrial activities and almost all are in the field service (outside of Washington, D.C.).

The graded employees are the "white collar" workers, composed of persons in clerical, administrative, fiscal, professional, scientific, protective, and custodial positions. They include attorneys, clerks, typists, personnel officers, economists, chemists, guards, messengers, charwomen, and people in thousands of other positions.<sup>6</sup> These employees

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<sup>5</sup>Position Classification Handbook (Washington: Office of Industrial Relations, Department of the Navy, 1950), p. 3.

<sup>6</sup>Carl Scott, U. S. Government Jobs (New York: Arco Publishing Company, Inc., 1950), p. 19.



occupy Group IVb positions and are subject to the Classification Act of 1949, which requires that they be placed in grades established by that act.<sup>7</sup> They are paid on an annual salary basis according to rates set by that law. Thus they are sometimes called "per annum" employees.

As stated in Chapter I, this study will concern itself with personnel management procedures only as they are used in the employment of graded civil service employees. The procedures used with ungraded employees, while similar, differ in numerous respects, and cannot be included in this discussion.

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<sup>7</sup> Position Classification Handbook, op. cit., p. 3.



## CHAPTER IV

### THE NAVY'S INDUSTRIAL RELATIONS ORGANIZATION

#### The United States Civil Service Commission

While not a part of the Navy, the United States Civil Service Commission must be the starting point of any discussion of the industrial relations organization concerned with civil service employees.

The United States Civil Service Commission was established by the Pendleton Act of 1883 as a step toward removing the "spoils system" of federal civil service appointments. The Commission is a bipartisan board whose three members are appointed by the President with the advice and consent of the Senate.<sup>1</sup> From an original negative conception of eliminating politics in appointments, the Commission has come to play the leading role in a positive and broad personnel-improvement program.<sup>2</sup>

The Commission is responsible for advising the President on civil service rules, establishing policy, drafting new laws, and the supervision of its field activities. Thus

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<sup>1</sup> William E. Mosher and J. Donald Kingsley, Public Personnel Administration (New York: Harper and Brothers, Publishers, 1941), p. 74.

<sup>2</sup> John H. Ferguson and Dean E. McHenry, The American System of Government (New York: McGraw-Hill Book Company, Inc., 1947), p. 438.





it represents the President in the administration of Civil Service Regulations throughout the entire executive branch of the federal government. The administrative work of the Commission is performed through divisions, the more important of which are Examining, Investigations, Personnel Classification, Retirement, and Training.<sup>3</sup> In actual practice, local Naval activities have no contacts directly with the Commission, but with its field activities which are described in the next section. However, it is the Commission which is the originator of personnel procedures used with all civil service employees.

Regional Offices of the United States Civil Service  
Commission

Geographically the United States and its territories are divided into fourteen civil service regions, with a Regional Office in a centrally located city. These offices and the areas they serve are listed in Table I.

The Regional Offices represent the Civil Service Commission throughout the territory assigned, furnish civil service information to the public, publicize and conduct examinations, certify eligible candidates, and in general serve the personnel needs of the field activities of the various federal agencies. Thus it is with these Regional

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<sup>3</sup>  
Loc. cit.



TABLE I

REGIONAL OFFICES OF THE UNITED STATES CIVIL SERVICE  
COMMISSION<sup>4</sup>

REGION	HEADQUARTERS	AREA SERVED
First	Boston	Maine, New Hampshire, Vermont, Massachusetts, Rhode Island, and Connecticut
Second	New York	New York and New Jersey
Third	Philadelphia	Pennsylvania and Delaware
Fourth	Washington	Maryland, Virginia, West Virginia, North Carolina, and the District of Columbia
Fifth	Atlanta	South Carolina, Georgia, Florida, Alabama, Tennessee, Puerto Rico and Virgin Islands
Sixth	Cincinnati	Ohio, Indiana and Kentucky
Seventh	Chicago	Wisconsin, Michigan and Illinois
Eighth	St. Paul	Minnesota, North Dakota, South Dakota, Nebraska and Iowa
Ninth	St. Louis	Kansas, Missouri, Oklahoma, Arkansas
Tenth	New Orleans	Mississippi, Louisiana and Board of U.S. Civil Service Examiners, Balboa Heights, C.Z.
Eleventh	Seattle	Montana, Oregon, Idaho, Washington, and Territory of Alaska
Twelfth	San Francisco	California, Nevada, Arizona, and the Territory of Hawaii
Thirteenth	Denver	Colorado, New Mexico, Utah, and Wyoming
Fourteenth	Dallas	Texas

<sup>4</sup>Adapted from a chart in Maxwell Lehman and Morton Yarman, Complete Guide to Your Civil Service Job (New York: Harcourt, Brace and Company, 1949), p. 94.



Offices that local Naval shore activities have their civil service contacts, rather than with the Commission in Washington.

### The Office of Industrial Relations

Within the Naval establishment, the Under Secretary of the Navy is the official responsible for civil service personnel administration. The Office of Industrial Relations is the staff organization which acts for the Under Secretary in the performance of these duties, and may be likened to a centralized Personnel Department in a large, widespread industrial organization.

The Office of Industrial Relations is responsible for the development of the Navy's civilian personnel program, for development of the policies which govern this program, and for advising and assisting shore activities in the application of the program. Thus it is concerned with all matters relating to the employment, placement, transfer, promotion, separation, performance rating, training, and classification of civilian employees. It establishes policies on wage administration, employee relations, and safety engineering.<sup>5</sup>

Hence the Office of Industrial Relations is a planning,

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<sup>5</sup> Navy Civilian Personnel Instructions (Washington: Office of Industrial Relations, Department of the Navy), Instruction 125, p. 1.



coordinative, and policy making activity. In the performance of these functions, it must maintain close liaison with the United States Civil Service Commission and other governmental agencies concerned with Civil Service personnel management. It represents the Department of the Navy in all such outside contacts.

The Office of Industrial Relations is organized into the following six operating divisions as shown in Figure 1:<sup>6</sup>

- a. Administrative Services Division
- b. Employment Division
- c. Training Division
- d. Wage and Classification Division
- e. Safety Division
- f. Personnel Studies and Statistics Division

#### District Civilian Personnel Offices

In each Naval District there is a District Civilian Personnel Office, headed by the District Civilian Personnel Director, who, in peacetime, may be either a Naval officer or a civilian. He is a member of the staff of the District Commandant.

The District Civilian Personnel Office is a liaison and advisory activity whose services are available to all

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<sup>6</sup>

Ibid., p. 2.





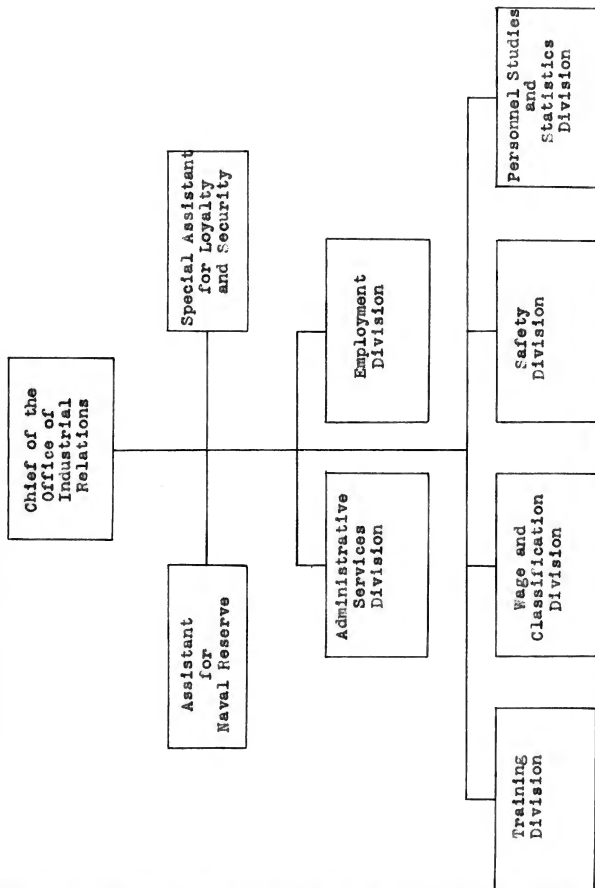


FIGURE 1  
ORGANIZATION CHART OF THE OFFICE OF INDUSTRIAL RELATIONS<sup>7</sup>

<sup>7</sup>Adapted from a Chart in Navy Civilian Personnel Instructions, op. cit., Instruction 125, p. 16.



Naval shore activities in the district. The functions of this office may be summarized as follows:<sup>8</sup>

1. To keep the District Commandant informed on industrial relations matters within the district.
2. To visit Naval shore activities within the district in order to maintain knowledge of conditions affecting industrial relations.
3. To advise Naval shore activities in the development and installation of employee services.
4. To advise Naval shore activities in the interpretation of policies relating to industrial relations.
5. To act as the clearing house for employees separated by reductions in force who may seek employment at other activities.
6. On specific written requests, to make formal inspections of the personnel management procedures as they exist in specific activities.

In this staff position, the District Civilian Personnel Director is under the military command and management control of the District Commandant but is under the technical control of the Office of Industrial Relations.<sup>9</sup>

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<sup>8</sup> Ibid., pp. 3, 4 and 12.

<sup>9</sup> Ibid., p. 4.



### Industrial Relations Departments at Local Activities

To insure the proper performance of civilian personnel functions, the Department of the Navy has directed that an Industrial Relations Department be established within each Naval shore activity. This department corresponds to the Personnel Department found in business organizations, and is, like them, a staff organization charged with advising and assisting the line organization in the management of the human resources of the activity. At the smaller activities, with very few civil service employees, this department may consist of only one or two people.

The Industrial Relations Department is concerned with all aspects of the personnel function, and while organizations may differ in detail from one activity to another, the sound, basic organization recommended by the Office of Industrial Relations is shown in Figure 2. In such an organization the personnel functions performed by the various divisions of the department would be as follows:<sup>10</sup>

#### Employment Division

- a. Placement, reassignment, promotion and separation
- b. Retirement
- c. Wages, job analysis and position classification
- d. Processing personnel actions
- e. Personnel records, statistics, reports
- f. Recruitment (if not performed, as is usual, by an outside agency)

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<sup>10</sup>

Ibid., p. 13.



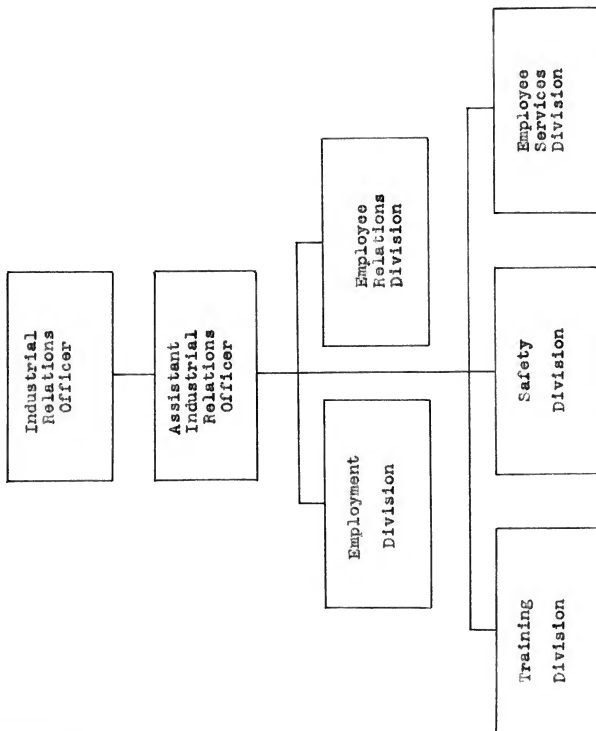


FIGURE 2  
ORGANIZATION CHART OF AN INDUSTRIAL RELATIONS DEPARTMENT<sup>11</sup>

<sup>11</sup> Adapted from a Chart in Navy Civilian Personnel Instruction, op. cit., Instruction 125, p. 13.





Employee Relations Division

- a. Employee grievances
- b. Group dealings
- c. Employee counseling
- d. Performance ratings
- e. Loyalty actions
- f. Disciplinary review

Training Division

- a. Employee development program

Safety Division

- a. Safety engineering
- b. Safety education
- c. Accident analysis
- d. Injury compensation
- e. Industrial hygiene

Employee Services Division

- a. Food services
- b. Employee communications
- c. Group hospitalization
- d. Beneficial suggestions
- e. Welfare services
- f. Incentives, awards

In the performance of these personnel functions by the Industrial Relations Department, two responsibilities must be considered, that of the Industrial Relations Department to the operating line departments, and that of the line departments to Industrial Relations. The following passage brings out these points:

The activities of the personnel department are directed toward making line control of the human element stronger and more effective--not toward usurping that control.... In short, the personnel staff recommends, cooperates, and counsels, while line management actually adopts and applies the policies, techniques, and procedures in its operations.<sup>12</sup>

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<sup>12</sup>"How to Establish and Maintain a Personnel Department," Research Report Number 4 (New York: American Management Association, 1944), p. 12.



Thus the Industrial Relations Department, as a staff department, operates in an advisory capacity to the operating departments to assist in the formation and administration of personnel policies. But as stated earlier, it is the line supervisor, whether officer or civilian who has the ultimate responsibility for employee-management relationships. In this there is an obligation upon these line officials to recognize the functions of the Industrial Relations Department and to cooperate with it in the closest possible manner. Supervisors are responsible for keeping Industrial Relations currently informed of all developments with regard to personnel management problems, and for consulting with it with respect to problems of mutual concern.<sup>13</sup>

#### Area Wage and Classification Offices

The eleven Area Wage and Classification Offices are field activities of the Wage and Classification Division, Office of Industrial Relations, and are under its technical and management control.<sup>14</sup> However, for logistic support they are assigned to the staffs of appropriate District Commandants as shown in Table II. But they are not under the jurisdiction of the Commandant, as they report directly to the Office of

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<sup>13</sup> Navy Civilian Personnel Instructions, op. cit., Instruction 125, p. 7.

<sup>14</sup> Ibid., Instruction 156, p. 1.



TABLE II

GEOGRAPHICAL AREAS UNDER THE COGNIZANCE OF THE AREA WAGE  
AND CLASSIFICATION OFFICES<sup>15</sup>

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Boston, Massachusetts:  
1st Naval District and Newfoundland

Chicago, Illinois:  
9th Naval District, Ohio and Kentucky

Jacksonville, Florida:  
6th Naval District except North and South  
Carolina; 8th Naval District except New  
Mexico; 10th and 15th Naval Districts

New York, New York:  
3rd Naval District

Norfolk, Virginia:  
Virginia south of and including Richmond;  
North and South Carolina

Philadelphia, Pennsylvania:  
4th Naval District, except Ohio

Pearl Harbor, T. H.:  
14th Naval District; the Marianas Islands  
and other regions of the Pacific--Asiatic  
Area as directed

San Francisco, California:  
12th Naval District

Long Beach, California:  
11th Naval District and New Mexico

Seattle, Washington:  
13th and 17th Naval Districts

Washington, D.C.:  
District of Columbia, Maryland, West  
Virginia, Virginia north of Richmond, and  
Bermuda, B.W.I.

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<sup>15</sup> Adapted from Navy Civilian Personnel Instructions,  
op. cit., Instruction 156, p. 29.



## Industrial Relations.

The Area Wage and Classification Offices perform two main functions for Naval field activities:

1. They establish local wage scales for ungraded civil service employees.
2. They classify or reclassify all graded civil service positions. This function is not, and cannot, be done by the field activities themselves.

The first function is not within the concern of this study. The effect of the second function on the field activities is discussed in Chapter V.

### Boards of U.S. Civil Service Examiners

Under the Civil Service Act the Civil Service Commission has authority to establish boards of examiners composed of employees of other federal agencies for the purpose of examining applicants for various positions in the federal service.<sup>16</sup> Thus, Boards of U.S. Civil Service Examiners have been established at large Naval activities, those with a large number of civil service employees, and at isolated activities which do not have ready access to a Regional Civil Service Office. They are staffed with military and civilian personnel of the Navy, who are nominated by the Commanding

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<sup>16</sup> Some Facts About Boards of U.S. Civil Service Examiners, Pamphlet 31 (Washington: U.S. Civil Service Commission, 1949), p. 1.





Officer of the Naval activity and approved by the Civil Service Regional Director.

These Boards are under the direct control of the Civil Service Regional Director with respect to all matters pertaining to the Civil Service Act.<sup>17</sup> In connection with the recruitment, examination, and employment of graded civil service employees of the Navy the duties of the Boards are:

1. To decide what knowledge, skills and aptitudes are required of applicants.
2. To prepare in writing a specific scale of entrance requirements to measure qualifications.
3. To develop methods for examination.
4. To recruit qualified applicants.
5. To rate qualifications of applicants and to review veteran preferences.
6. To examine applicants by written and oral tests.
7. To establish registers of persons found eligible for appointment.
8. To make selective certifications to Naval activities from the register of eligibles.<sup>18</sup>

Thus it may be seen that these Boards perform all the functions of employment up to, but not including, the

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<sup>17</sup> Navy Civilian Personnel Instructions, op. cit., Instruction 125, p. 5.

<sup>18</sup> Some Facts About Boards of U.S. Civil Service Examiners, op. cit., p. 2.



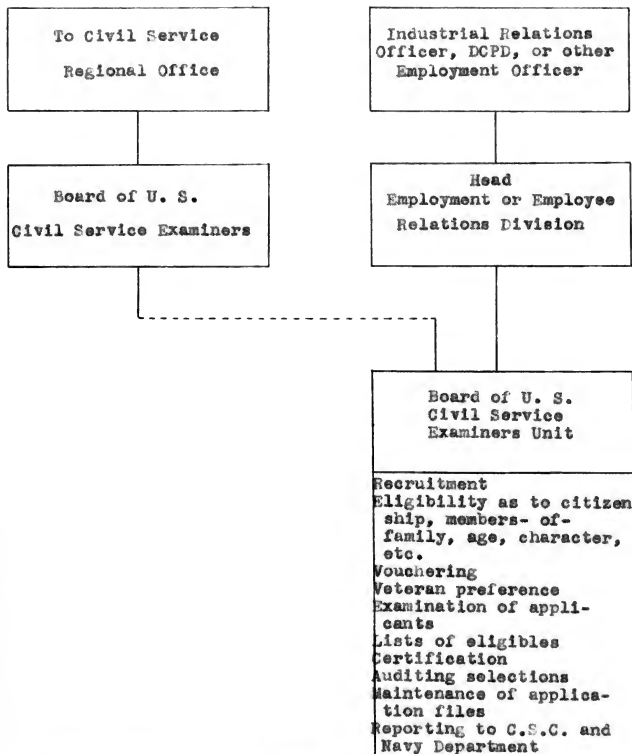


FIGURE 3

ORGANIZATIONAL RELATIONSHIP OF A BOARD OF U.S. CIVIL SERVICE EXAMINERS TO THE INDUSTRIAL RELATIONS DEPARTMENT OR OTHER EMPLOYMENT OFFICE OF A NAVAL ACTIVITY<sup>18</sup>

<sup>18</sup>Adapted from a Chart in Naval Civilian Personnel Instructions, op. cit., Instruction 27, p. 7.



function of final selection. The functions listed above are performed by an organizational unit designated as a "Board of U.S. Civil Service Examiners Unit" which is organizationally within the Employment Division of the Industrial Relations Department of the Naval activity.<sup>20</sup> This organizational relationship is illustrated in Figure 3.

### Navy Civilian Personnel Instructions

Navy Regulations guide the military actions of Naval officers throughout the many ships and shore stations composing the Naval establishment. This publication serves to promulgate policy and rules of procedure for the military situation.

In a like manner, Navy Civilian Personnel Instructions, issued by the Office of Industrial Relations, provides all officers, civilian supervisors, and employees with policies and rules of procedure for the personnel management of civil service employees.

This publication has as its basis federal legislation, the Civil Service Act and Rules, executive orders, Civil Service Commission issuances, decisions of the Comptroller General, opinions of the Attorney General, and previous

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<sup>20</sup>

Navy Civilian Personnel Instructions, op. cit., Instruction 27, p. 2.



authoritative documents issued by the Navy Department.<sup>21</sup>

Navy Civilian Personnel Instructions is promulgated to achieve the following objectives:

1. To assure uniformity insofar as possible throughout Naval shore activities in the application and interpretation of rules and regulations relating to Civil Service employees.
2. To provide, in one book, in simple codified form, overall instructions to be followed in civilian personnel matters.
3. To assure like treatment, rights, and obligations with respect to all civilian employees in the Naval Establishment.<sup>22</sup>

Each Instruction deals with a single broad subject, indexed, and easy to locate. Every supervisor, Naval or civilian, should familiarize himself with Naval Civilian Personnel Instructions and use it in the Management of civilian employees.

#### Summary

This somewhat lengthy description of the industrial relations organization of the Navy has been included in this study because of its great importance to the Naval officer

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<sup>21</sup> Ibid., Instruction 27, p. 1.

<sup>22</sup> Ibid., Instruction 27, p. 2.





charged with the administration of civilian employees. If he is occupying the billet of Industrial Relations Officer, his contacts with most of the organizational units described here are daily and of great importance. If he is in a line operating department, the aid and assistance which the industrial relations organization can give him will be a big factor in his success in personnel management. Thus every Naval officer should be familiar with this organization.



## CHAPTER V

### POSITION CLASSIFICATION

#### Definitions

What is a position? As defined by Shartle, "A position is a group of tasks performed by one person. There are always as many (or more) positions as there are workers."<sup>1</sup> Baruch says much the same when he writes, "A position is a group of current duties and responsibilities, assigned or delegated by competent authority, requiring the full-time or part-time employment of one person."<sup>2</sup>

The position is most important in the proper performance of many management processes. To cite a few of many examples, the position is involved in the following in the management of the Navy:<sup>3</sup>

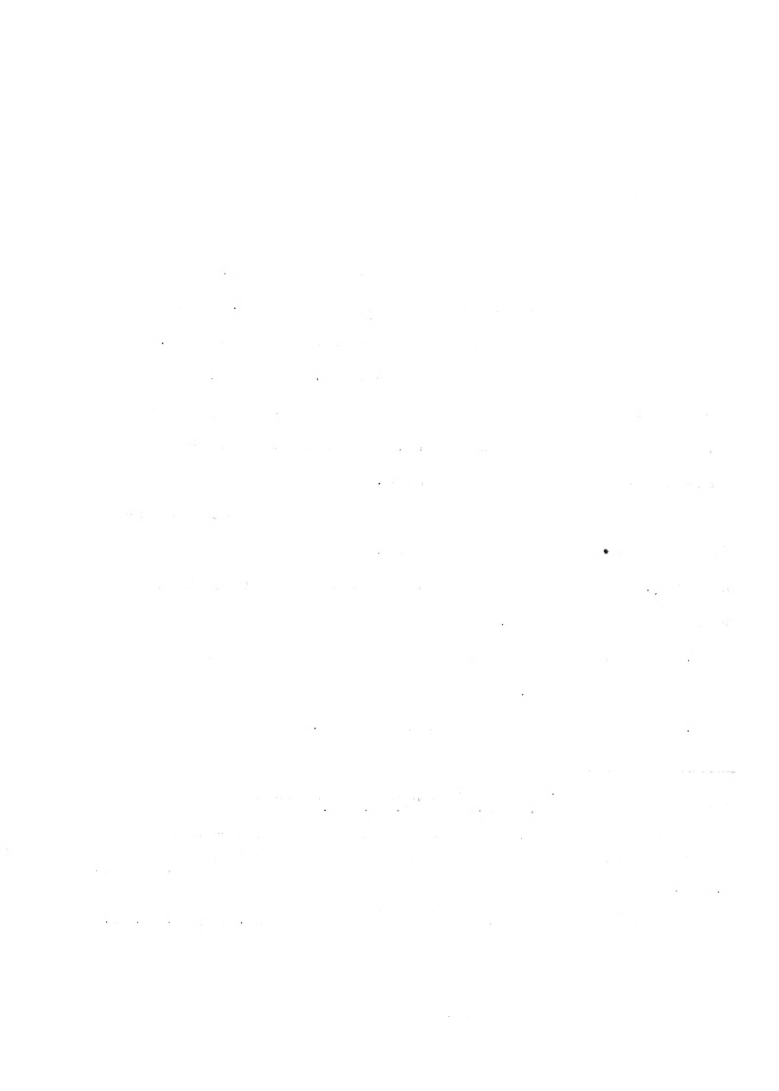
1. Budgeting-funds for personal services are allotted for positions.
2. Recruitment is made for positions.

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<sup>1</sup>Carroll L. Shartle, Occupational Information (New York: Prentice-Hall, Inc., 1946), p. 11.

<sup>2</sup>Ismar Baruch, "Basic Aspects of Position-Classification," Readings in Public Personnel Administration (Chicago: Civil Service Assembly of the United States and Canada, 1942), p. 29.

<sup>3</sup>Position Classification Handbook (Washington: Office of Industrial Relations, Department of the Navy, 1950), p. 1.



3. Promotions are made from position to position.
4. Reorganizations are accomplished by changing positions.
5. Organization analysis involves the study of positions.

Thus it is apparent that in the personnel management of a large number of civil service employees, in many positions in widely scattered places in the Naval shore establishment, management must know with what types of positions it is dealing. The positions must be identified by some system of titles and grades. This process of identifying positions in the Navy's civil service is called "position classification."

Position classification is paramount to efficient personnel management. Classification aims to establish an hierarchy of positions in the civil service, with all positions of the same level bearing the same degree of responsibility, demanding equivalent types of duty, and paying the same salary.<sup>4</sup>

#### The Position Classification Plan

The present position classification plan for graded civil service positions is based on the Classification Act of 1949. This plan may be visualized as grouping positions horizontally according to the kind of work and ranking them

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<sup>4</sup>Frances T. Cahn, Federal Employees in War and Peace (Washington: The Brookings Institute, 1949), p. 10.



vertically according to the relative difficulty and responsibility of work.<sup>5</sup>

The kind of work indicates the schedule--either the "General Schedule" (GS) or the "Crafts, Protective, and Custodial Schedule" (CPC). The General Schedule includes positions which may be described as either professional, scientific, clerical, administrative, or fiscal in nature. Positions falling in this group include those of attorney, clerk, typist, accountant, administrator, economist, and chemist.<sup>6</sup> The Crafts, Protective and Custodial Schedule includes positions such as building guard, elevator operator, and messenger.<sup>7</sup> The greater bulk of graded civil service positions in the Navy are in the General Schedule.

Within the two schedules, the Classification Act sets up a system of grades based on the relative difficulty and responsibility of the work. If the duties are difficult and responsibilities great, the position is allocated to a high grade. If the duties are simple and the responsibilities light, the position is allocated to a low grade. The General Schedule has eighteen grades, GS-1 through GS-18, and the Crafts, Protective, and Custodial Schedule has ten grades, CPC-1 through CPC-10.

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<sup>5</sup>Personnel Administration (Washington: Bureau of Naval Personnel, Department of the Navy, 1949), p. 52.

<sup>6</sup>Carl Scott, U.S. Government Jobs (New York: Arco Publishing Company, Inc., 1950), p. 19.

<sup>7</sup>Position Classification Handbook, op. cit., p. 4.





The grades are further divided for administrative purposes into classes. A class of positions has been defined as:

A group of positions enough alike in duties, responsibilities, and difficulty of the work that:

1. The skills, knowledges, education, and work experience to be required of employees can be the same for all positions.
2. All the positions can be identified by one title.
3. The same salary range can be applied to all the positions with fairness.<sup>8</sup>

Thus, while every position in grade GS-3 is like every other position in grade GS-3 in level of difficulty and responsibility, different skills and knowledges may be required. Hence, in grade GS-3 may be found, for example, typists, shoe inspectors, and engineering aides, each representing a separate class.

And finally, groups of classes are divided into series. A series is a group of classes of positions which are of different grades but all engaged in one kind of work.<sup>9</sup> Thus may be found the chemist series, or the clerical series, to cite two examples.

It may have been noted by the reader that so far in this discussion no mention has been made of the employee, but only of the position. This emphasizes an important point, that it is the position which is classified and not the person

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<sup>8</sup> Loc. cit.

<sup>9</sup> Ibid., p. 6.



who may be occupying it, as is customary with military personnel. Indeed, many positions, and almost all new ones, are classified when vacant. Thus the personal qualities of any person in the position--education, age experience, race, efficiency, or longevity--are not considered in position classification. Instead, the evaluation of positions to determine the proper classification is based on the following factors which make work difficult and responsible regardless of the kind of work:<sup>10</sup>

1. Variety of work and of knowledge required.
2. Supervisory control from above.
3. Individual judgment and guide lines.
4. Originality of thinking.
5. Authority to make commitments.
6. Person-to-person relationships.
7. Nature of the control of work of others.

Every grade carries with it a salary scale set by Congress in the Classification Act. of 1949. These salaries are on an annual basis, and may be changed only by Congress. If a person's work is satisfactory, he may receive an automatic salary increase each year in grades GS-10 and below, and in all GPC grades, and every eighteen months in grades GS-11 through GS-17.<sup>11</sup>

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<sup>10</sup> Personnel Administration, op. cit., p. 53.

<sup>11</sup> Scott, op. cit., p. 21.



A table listing the grades and annual salary ranges, with periodic increase, is shown on page 43. From this it may be seen, for example, that a person occupying a grade GS-5 position would receive an entrance salary of \$3100 per year with an annual periodic increase of \$125 until reaching a maximum salary of \$3850.

To summarize the classification plan, positions are classified first into one of two schedules, General Schedule or Crafts, Protective, and Custodial Schedule. Each schedule is divided into grades based on the relative difficulty and responsibility of the work, General Schedule into 18 grades, and Crafts, Protective, and Custodial Schedule into 10 grades. The grades are divided into classes, which represent the same level of difficulty, but different skills and knowledges. The series is a group of classes of different grades engaged in the same kind of work. The pay of a position is based on its grade. The position is classified, not the person who may be occupying it. Thus a Clerk, GS-3 would be in the General Schedule, grade 3, the clerk class, and the clerical series.

#### Position Classification Procedures

Classifying positions is a part of the work of setting up a new organization, or of reorganizing an already existing one. Therefore, there is a need for position classification



TABLE III

GRADES AND ANNUAL SALARY RANGES, GRADED CIVIL SERVICE<sup>12</sup>

Grade	Entrance Salary	Periodic Increase	Maximum Salary
GS 1	\$ 2200	\$ 80	\$ 2680
2	2450	80	2930
3	2650	80	3130
4	2875	80	3350
5	3100	125	3850
6	3450	125	4200
7	3825	125	4575
8	4200	125	4950
9	4600	125	5350
10	5000	125	5750
11	5400	200	6400
12	6400	200	7400
13	7600	200	8600
14	8800	200	9800
15	10000	250	11000
16	11200	200	12000
17	12200	200	13000
18	14000	-	14000
CPC 1	1510	60	1870
2	2120	70	2540
3	2252	80	2732
4	2450	80	2930
5	2674	80	3154
6	2900	80	3380
7	3125	100	3725
8	3400	125	4150
9	3775	125	4525
10	4150	125	4900

<sup>12</sup> Adapted from a Chart in Working for the U.S.A., Pamphlet 4, (Washington: United States Civil Service Commission, 1949), p. 18.





on the following occasions:

1. When there is work to be performed which will require the establishment of a new position.
2. When it is determined that the duties and responsibilities of an existing position have changed substantially since it was last classified.<sup>13</sup>

However, in establishing new positions, responsible Naval administrators must be certain of two things:

1. That the new position is within the numerical ceiling on graded civil service positions established by that bureau of the Department of the Navy having management control of the activity.
2. That sufficient funds are or will be allotted to pay the salary of the person who will occupy the new position.

Once the need for position classification is determined because of either of the reasons given above, there are definite well-established steps to be followed by management in the Naval activity concerned. These basic steps in the position classification process may be summarized as follows:<sup>14</sup>

1. The first step is organization planning, in the case of a new position, or organization analysis, if an

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<sup>13</sup>Position Classification Handbook, op. cit., p. 15.

<sup>14</sup>Loc. cit.



existing position has changed. This does not necessarily mean an extensive study of the entire unit but it does mean a study of the particular position involved, and its relationship to other positions.

2. The second step is the preparation of the position description. A position description is an official written statement of the current duties and responsibilities of a position.<sup>15</sup> It is normally typed on plain paper and attached to a cover sheet (Standard Form 75). This cover sheet contains personnel accounting and payroll data and is used for purposes of identification and certification. An example of a position description cover sheet is shown in Figure 4. The position description should be written by the person most familiar with the position. If the organization planning and analysis described above has been done properly, writing the position description is a simple matter.

3. The third step is the reviewing of the position description for clarity, completeness, and accuracy. This is done by responsible civilian and Naval supervisors in the line department concerned. The position description is now sent to the local Industrial Relations Department.

4. The fourth step is performed in the Industrial Relations Department. Here the position description is

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<sup>15</sup>Navy Civilian Personnel Instructions (Washington: Office of Industrial Relations, Department of the Navy), Instruction 156, p. 2.



FIGURE 4

Standard Form No. 75 February 1946  <b>UNITED STATES CIVIL SERVICE COMMISSION POSITION DESCRIPTION</b>		1. Check one: Dept'l <input type="checkbox"/> Field <input checked="" type="checkbox"/>		2. Official headquarters: <b>Columbus, Ohio</b>		4. Agency position No. <b>383</b>			
		3. Reason for submission: (a) If this position replaces another (i. e., a change of duties in an existing position), identify such position by title, allocation (service, series, grade), and position number  (b) Other (specify) <b>New Position</b>				5. O. S. C. certification No.  6. Date of certification  7. Date received from O. S. C.			
8. CLASSIFICATION ACTION									
ALLOCATION BY		CLASS TITLE OF POSITION				CLASS		INITIALS	DATE
						Service	Series	Grade	
a. Civil Service Commission									
b. Department, agency, or establishment		<b>Clerk-Typist</b>				<b>GS</b>	<b>322</b>	<b>2</b>	<b>FYT 10/22/50</b>
c. Bureau									
d. Field office									
e. Recommended by initiating office		<b>Clerk-Typist</b>				<b>GS</b>	<b>322</b>	<b>2</b>	<b>JBC 10/15/50</b>
9. Organizational title of position (if any) <b>Procurement Clerk</b>						10. Name of employee (If vacancy, specify V-1, 2, 3, or 4)			
11. Department, agency, or establishment <b>Navy Department</b>						o. Third subdivision <b>Control Division</b>			
a. First subdivision <b>U. S. Naval Air Station, Columbus 9, Ohio</b>						d. Fourth subdivision <b>Receipt Control and Procurement Section</b>			
b. Second subdivision <b>Supply Department</b>						e. Fifth subdivision			

(This section will usually be typed on plain paper and the sheets are then attached to this cover sheet. This information is the basis on which the position classifier in the Area Wage Classification Office will determine the grade of the position.)



numbered, records prepared, and it is given the activity's official approval. The position description is now ready to be forwarded to the appropriate Area Wage and Classification Office (or to the proper departmental classifier in the case of positions in the departmental service).

5. In the fifth step, the Area Wage and Classification Office having cognizance (see Table II, page 30) will analyze, evaluate, and classify the position. It is not within the scope of this study to discuss this procedure in detail; suffice it to say that the Navy uses a point method in evaluating positions. Usually, except with routine positions, the classification office will investigate the job on the spot.

6. After the position description with the approved classification is returned to the Naval shore activity by the Area Wage and Classification Office, step six may be performed. This consists of placing the classification into effect. The classification process normally ends here except in the case of an appeal.

An appeal of a classification may be made, either by the employee occupying the position concerned, or by the activity concerned. The appeal is made to the Area Wage and Classification Office and may go for ultimate decision to the Office of Industrial Relations.<sup>16</sup>

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<sup>16</sup> Naval Civilian Personnel Instructions, op. cit.,  
Instruction 156, p. 15.





### Responsibilities of the Naval Officer

What are the responsibilities of the Naval officer in a management position in a line operating department in the process of position classification? It must be remembered that this section is not discussing the responsibilities of the two staff activities concerned, the Industrial Relations Department and the Area Wage and Classification Office.

The major management responsibilities of the Naval officer in connection with position classification may be summarized as follows:<sup>17</sup>

1. To insure that the first line supervisors, whether Naval or civilian, perform the following duties:
  - a. The initiation of classification action when necessary.
  - b. The presentation of an adequate and accurate summary of relevant facts when positions under their control are to be classified.
  - c. Serving as the connecting channel between management and workers in the classification of positions.
2. To evaluate the internal consistency and alignment of position classifications in relation to comparability of work and the organizational relationships among positions.

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<sup>17</sup>

Position Classification Handbook, op. cit., p. 14.



That is, to determine whether the grades assigned to the various positions seem reasonable.

3. To put classifications into effect after positions have been classified.

4. To cooperate in the development of classification standards, if requested.

5. To create and design the positions to be classified. This, of course, is the basis of the organizing or re-organizing process.

In carrying out his responsibilities in connection with position classification, the Naval officer will encounter many problems. The following tips may help to avoid some of the pitfalls:

1. Position classification is an essential part of management. Every officer should plan to devote the needed time and effort to it which is necessary to good personnel management.

2. Officers should know enough about position classification to be able to understand and discuss basic issues and to distinguish classification problems from those pertaining to the incumbent of the position.

3. A promotion should never be promised to an employee, or an appointment to an applicant before there is a classified position to which he can be promoted or appointed.

4. Unjustified grade requests should never be supported just to "keep the employee happy."



5. All work subject to the Classification Act must be performed by employees in positions which are properly classified.<sup>18</sup>

6. Position descriptions must tell what, why and how. They must avoid vague terms, be concise, and logically describe the position. They should not be used as a means of getting a salary increase.

7. There are a number of causes of delay in position classification most of which are based on poor planning or ignorance. These are avoidable.

#### Summary

Position classification in the federal civil service insures equal pay for equal work and responsibility. It is a basic process whose influence is felt in all aspects of the personnel management of graded civil service employees in the Navy. It may well be called the first step in personnel management.

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<sup>18</sup>

Ibid., p. 47.



## CHAPTER VI

### RECRUITMENT AND EMPLOYMENT

#### Introduction

Public recruitment has been defined by one author on the subject as:

...that process through which suitable candidates are induced to compete for appointments to the public service. It is thus one aspect of the broader process of selection, which includes the procedures of examination and certification as well.<sup>1</sup>

The selection of an employee at a Naval shore activity becomes necessary when an old employee withdraws (resigns, is dismissed, retires, etc.), when the work force is expanded, thus creating new positions, or when a new activity is established, also creating new positions.<sup>2</sup> In any of these events, there is an official vacancy in a properly classified position. This is fundamental--no vacancy, no opportunity to hire.

These vacancies may be filled from three sources;

1. by the promotion of an old employee, 2. by the transfer of an employee from another Naval activity or another government agency, or 3. by the appointment of a person not now

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<sup>1</sup> J. Donald Kingsley, "Recruitment--The Quest for Competence," Readings in Public Personnel Administration (Chicago: Civil Service Assembly of the United States and Canada, 1942), p. 63.

<sup>2</sup> Lewis Meriam, Public Personnel Problems (Washington: The Brookings Institution, 1938), p. 57.





employed by the government. The first two may be considered to be internal sources, while the last is an external source of labor supply. For many reasons, promotion from within is generally the better way to fill vacant positions. This subject will be discussed in Chapter VIII. However, there are numerous occasions when qualified persons are not available among the present work force or the position is an entry one, and candidates must be sought from the outside. The personnel management procedures involved in this process are discussed in this chapter.

These procedures may be divided into four definite steps, each of which is a subject of one of the following paragraphs. These steps are:

1. Recruitment
2. Selection and appointment
3. Induction of the new employee
4. Follow-up

#### Recruitment

The first step in filling a vacant position by the Naval shore activity is taken by the Industrial Relations Department when it submits a Request for Certification to the appropriate recruiting agency. It is important to note that the Naval activity itself does not perform the function of recruitment. This is performed by the following organizations:



1. The United States Civil Service Commission for positions in the departmental service (Washington, D.C.)

2. The appropriate Regional Office of the Civil Service Commission (see Table I, page 21) for field activities, unless a board of U. S. Civil Service Examiners has been established at the Naval activity.

3. Boards of U. S. Civil Service Examiners at those activities where they have been established to perform the recruiting function for the Regional Office of the Civil Service Commission.<sup>3</sup> As stated in Chapter IV, these boards have been set up at most major shore activities and at Naval District Headquarters.

The three types of recruiting activities listed above perform the following functions which constitute the recruitment process:

1. Recruit workers
2. Determine eligibility
3. Construct tests and prepare announcements for examinations
4. Investigate experience and training of applicants
5. Examine applicants for ability to perform the duties of the specific job for which they are being considered.

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<sup>3</sup> Navy Civilian Personnel Instructions (Washington: Office of Industrial Relations, Department of the Navy), Instruction 10, p. 11.



6. Establish lists of eligibles
7. Certify eligibles to Naval activities for appointment
8. Audit selections made from certificates <sup>4</sup>

For the more routine positions, such as typist, clerk, etc., for which there are frequent requests, the recruiting activity will usually have performed the first six functions prior to receipt of a Request for Certification. For more complex or unusual positions, the entire recruitment process may have to be performed after receipt of a Request for Certification. In any case, performance of the first six recruitment steps listed above will result in the establishment of a "Register of Eligibles" (usually referred to as the register). This lists the qualified applicants in the order of their qualifications as determined by the recruitment process (tests, evaluation of experience, education, etc.).

As a result of the Request for Certification from a Naval activity, the recruiting agency, the Commission, a Regional Office, or a Board of U.S. Civil Service Examiners, will certify a list of eligibles from the appropriate register to the requesting activity.

This completes the first step of recruitment and leads to the second, selection and appointment, which is performed

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<sup>4</sup> Ibid., Instruction 27, p. 1.



entirely within the Naval shore activity.

### Selection and Appointment

After receiving the Certificate of Eligibles, the Employment Division of the Industrial Relations Department will send an "Inquiry of Availability" to those whose names appear on the certificate to ascertain which ones actually are interested in the position open. After hearing from those interested, the three top respondents will be requested to come to the activity for an interview.<sup>5</sup>

It should be pointed out here that the addition of a person's name to the payroll deserves more serious thought than is often given the action. This is a crucial stage in personnel management, the stage at which a wise decision, either for or against hiring, can provide an employee who is definitely an asset or bar one who is potentially a liability.<sup>6</sup> As will be seen, both the Industrial Relations Department and the supervisors, both civilian and Naval, in the operating departments share in this responsibility.

The Employment Division will usually give the three applicants a preliminary interview to see if they possess

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<sup>5</sup>"Industrial Relations," Monthly Newsletter (Washington: The Bureau of Supplies and Accounts, Department of the Navy, November, 1950), p. 22.

<sup>6</sup>Frances S. Drake and Charles A. Drake, A Human Relations Casebook for Executives and Supervisors (New York: McGraw-Hill Book Company, Inc., 1947), p. 2.





the technical requirements necessary for the position and to see that the recruiting agency has not technically erred in the recruitment process. The three applicants are then referred to the executive head of the operating department which had requested an employee. It is at this point that the supervisors play an important role in selection.

Civil service regulations permit the supervisor to choose any one of the three applicants for appointment to the vacant position. It need not be the top one. Each of these applicants is interviewed by supervisors of the operating department before the selection is made. Throughout the interview the supervisor should bear in mind his two paramount responsibilities in selecting new employees: first, to employ a person who is qualified to do the work, and, second, to employ the applicant who, by virtue of his temperament and background, seems most likely to fit into the existing organization.<sup>7</sup> The applicant should be interviewed by the immediate supervisor for whom he is to work, and by any others in the chain of command to the department head, and by the department head. Three interviewers are not too many if the position is important. If the position isn't important, it should not exist!

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<sup>7</sup> Alfred M. Cooper, Supervision of Governmental Employees (New York: McGraw-Hill Book Company, Inc., 1943), p. 34.



Each interviewer should remember the three-fold purpose of the interview: to give information to the applicant; to secure information from him; and to establish a friendly relationship with him.<sup>8</sup> An interview then, is a two-way proposition. It should result in a determination of whether the applicant is qualified, and whether he will fit into the organization.

This is admittedly a difficult task. If the interviewers are to choose employees who can do the work, and who will be happy in doing it, their decisions must rest on pertinent evidence. If they are swayed by personal prejudices or if they depend on hunches, they may be guilty of injustices to applicants and to the Navy.<sup>9</sup>

To assist the interviewer, the applicant will normally bring with him from the recruiting agency his "Application for Federal Employment." This is the application blank used in government employment, and is shown in Figure 5. While it gives the interviewer a great deal of information, it should only serve as a starting point in a good interview. The blank tells when and what to questions on the applicants work history, his vital statistics, his education, military service, etc., but the interviewer in his questions should

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<sup>8</sup> Ordway Tead and Henry C. Metcalf, Personnel Administration (New York: McGraw-Hill Book Company, Inc., 1933), p. 69.

<sup>9</sup> Drake and Drake, op. cit., p. 7.

# APPLICATION FOR FEDERAL EMPLOYMENT

**INSTRUCTIONS:** In order to prevent delay in consideration of your application, answer every question on this form clearly and completely. Type-write or print in **INK**. In applying for a specific United States Civil Service examination, read the examination announcement carefully and follow all directions. If you are applying for a **WRITTEN** examination, follow the

instructions on the admission card regarding disposition of this application. If you are applying for an UNWRITTEN examination, mail this application to the office named in the announcement. Be sure to mail to the same office *any other forms required by the announcement*. Notify the office with which you file this application of any change in your address.

APPLICATION FOR FEDERAL EMPLOYMENT

**FIGURE 5**

1. NAME OF EXAMINATION OR KIND OF POSITION APPLIED FOR

2. OPTION(S) (if mentioned in examination announcement)

3. PLACE OF EMPLOYMENT APPLIED FOR (City and State)

4. DATE OF THIS APPLICATION

5. MR. (First name) (Middle) (Maiden, if any) (Last)

6. (A) STREET AND NUMBER OR R. D. NUMBER

(B) CITY OR POST OFFICE (including postal zone) AND STATE

7. LEGAL OR VOTING RESIDENCE (State)

8. (A) OFFICE PHONE (B) HOME PHONE

9. DATE OF BIRTH (month, day, year)

10. ☐ MARRIED ☐ SINGLE

11. PLACE OF BIRTH (city and State; if born outside U. S., name city and country)

12. ☐ MALE ☐ FEMALE

13. (A) HEIGHT WITHOUT SHOES: FEET INCHES (B) WEIGHT: POUNDS

14. (A) HAVE YOU EVER BEEN EMPLOYED BY THE FEDERAL GOVERNMENT? ☐ YES ☐ NO (B) IF SO, GIVE LAST GRADE AND DATE OF LAST CHANGE IN GRADE

15. (A) WHAT IS THE LOWEST ENTRANCE SALARY YOU WILL ACCEPT? \$ PER YEAR. You will not be considered for any position with a lower entrance salary. (B) CHECK IF YOU WILL ACCEPT SHORT-TERM APPOINTMENT IF OFFERED, FOR: ☐ 1 TO 3 MONTHS ☐ 3 TO 6 MONTHS ☐ 6 TO 12 MONTHS NOTE. Acceptance or refusal of a temporary short-term appointment will not affect your opportunity to obtain a probational appointment. (C) IF YOU ARE WILLING TO TRAVEL, SPECIFY: ☐ OCCASIONALLY ☐ FREQUENTLY ☐ CONSTANTLY

16. EXPERIENCE: It is important for you to furnish all information requested below in sufficient detail to enable the Civil Service Commission and the appointing officers of agencies to give you full credit in determining your qualifications. Use a separate block for each position. Start with your present position and work back, explaining clearly the principal tasks which you performed in each position, accounting for all periods of unemployment. Experience gained more than 15 years ago which is not pertinent to the work for which you are applying may be summarized in one or more of the blocks. If your duties changed materially while working for the same employer, use a separate block to describe each position. You may include any pertinent religious, civic, welfare, or organizational activity which you have performed, either with or without compensation, showing the number of hours per week and weeks per year in which you were engaged in such activity. Military experience should be described in the spaces below in its proper sequence. (a) If you were ever employed in any position under a name different from that shown in Item 5 of this application, give under "Description of your work" for each position, the name used. (b) If you have never been employed or are now unemployed, indicate that fact in the space provided below for "Present Position."

DO NOT WRITE IN THIS BLOCK For Use of Civil Service Commission Only

☐ APPOR. ☐ NON-APPOR.

☐ MATERIAL ☐ SUBMITTED ☐ RETURNED

ENTERED REGISTER:

NOTATIONS:

APP. REVIEW:

APPROVED:

OPTION	GRADE	EARNED RATING	PREFER-ENCE	AUGM. RATING
			<input type="checkbox"/> 5 POINTS (TENT.)	
			<input type="checkbox"/> 10 POINTS	
			<input type="checkbox"/> WIFE OR WIDOW	
			<input type="checkbox"/> DISAL.	
			<input type="checkbox"/> BEING INVESTIGATED	

INITIALS AND DATE

1

PRESENT POSITION

DATES OF EMPLOYMENT (month, year) FROM: TO PRESENT TIME

EXACT TITLE OF YOUR PRESENT POSITION

CLASSIFICATION GRADE (if in Federal Service)

SALARY OR EARNINGS: STARTING, \$ PER PRESENT, \$ PER

PLACE OF EMPLOYMENT (city and State)

NAME AND TITLE OF IMMEDIATE SUPERVISOR

NAME AND ADDRESS OF EMPLOYER (firm, organization, or person; if Federal, name department, bureau or establishment, and division)

KIND OF BUSINESS OR ORGANIZATION (e. g., wholesale silk, insurance agency, manufacture of locks, etc.)

NUMBER AND KIND OF EMPLOYEES SUPERVISED BY YOU

REASON FOR DESIRING TO CHANGE EMPLOYMENT

DESCRIPTION OF YOUR WORK

[illegible]

APPLICATION FOR FEDERAL EMPLOYMENT

FIGURE 5

<b>5 DATES OF EMPLOYMENT (month, year)</b> FROM: _____ TO: _____		<b>EXACT TITLE OF YOUR POSITION</b> _____		<b>CLASSIFICATION GRADE</b> <i>(if in Federal service)</i> _____		<b>SALARY OR EARNINGS:</b> STARTING \$ _____ PER FINAL \$ _____ PER	
<b>PLACE OF EMPLOYMENT (city and State)</b> _____				<b>NAME AND TITLE OF IMMEDIATE SUPERVISOR</b> _____			
<b>NAME AND ADDRESS OF EMPLOYER (firm, organization, or person; if Federal, name department, bureau or establishment, and division)</b> _____				<b>KIND OF BUSINESS OR ORGANIZATION (e. g., wholesale silk, insurance agency, manufacture of locks, etc.)</b> _____			
<b>NUMBER AND KIND OF EMPLOYEES SUPERVISED BY YOU</b> _____				<b>REASON FOR LEAVING</b> _____			
<b>DESCRIPTION OF YOUR WORK</b> _____ _____ _____ _____ _____ _____ _____ _____ _____							
If more space is required, use a continuation sheet (Standard Form No. 58) or a sheet of paper the same size as this page. Write on each sheet your name, address, date of birth, and examination title. Attach to inside of this application.							
<b>17. MILITARY TRAINING:</b> In the space below, describe any training received in the Armed Services (not already listed under Item 16) that would assist appointing officers in placing you most effectively. Indicate actual amount of training received, such as hours per week. Detailed information regarding any special service schools you attended is especially important. (Extra pages may be used to give full descriptions.)							
<b>DATES</b> FROM _____ TO _____		<b>LOCATION</b> _____		<b>DESCRIPTION OF TRAINING</b> _____ _____ _____ _____ _____ _____ _____ _____			
<b>18. EDUCATION. (Circle highest grade completed):</b> 1 2 3 4 5 6 7 8 9 10 11 12 MARK (X) THE APPROPRIATE BOX TO INDICATE SATISFACTORY COMPLETION OF: <input type="checkbox"/> ELEMENTARY SCHOOL <input type="checkbox"/> JUNIOR HIGH SCHOOL <input type="checkbox"/> SENIOR HIGH SCHOOL		<b>(A) GIVE NAME AND LOCATION OF LAST HIGH SCHOOL ATTENDED</b> _____ <b>(B) SUBJECTS STUDIED IN HIGH SCHOOL WHICH APPLY TO POSITION DESIRED</b> _____					
<b>(C) NAME AND LOCATION OF COLLEGE OR UNIVERSITY</b> _____		<b>MAJOR AND SPECIALTY</b> _____		<b>DATES ATTENDED</b> FROM _____ TO _____		<b>YEARS COMPLETED</b> DAY _____ NIGHT _____	
<b>(D) LIST YOUR CHIEF UNDERGRADUATE COLLEGE SUBJECTS</b> _____ _____ _____		<b>SEMESTER HOURS</b> _____ _____ _____		<b>LIST YOUR CHIEF GRADUATE COLLEGE SUBJECTS</b> _____ _____ _____		<b>SEMESTER HOURS</b> _____ _____ _____	
<b>(E) OTHER TRAINING, SUCH AS VOCATIONAL, BUSINESS, STUDY COURSES GIVEN THROUGH THE ARMED FORCES INSTITUTE (show name and location of school) OR "IN-SERVICE TRAINING" IN PUBLIC OR PRIVATE EMPLOYMENT</b> _____		<b>SUBJECTS STUDIED</b> _____ _____ _____		<b>DATES ATTENDED</b> FROM _____ TO _____		<b>YEARS COMPLETED</b> DAY _____ NIGHT _____	
<b>19. INDICATE YOUR KNOWLEDGE OF FOREIGN LANGUAGES</b> _____		<b>READING</b> EXC. GOOD FAIR _____		<b>SPEAKING</b> EXC. GOOD FAIR _____		<b>UNDERST'NG</b> EXC. GOOD FAIR _____	
<b>20. IF YOU HAVE TRAVELED OR RESIDED IN ANY FOREIGN COUNTRIES, INDICATE (1) NAMES OF COUNTRIES, (2) DATES AND LENGTH OF TIME SPENT THERE, AND (3) REASON OR PURPOSE (e. g., military service, business, education, recreation)</b> _____		<b>22. ARE YOU NOW OR HAVE YOU EVER BEEN A LICENSED OR CERTIFIED MEMBER OF ANY TRADE OR PROFESSION (such as pilot, electrician, radio operator, teacher, lawyer, CPA, etc.)?</b> <input type="checkbox"/> YES <input type="checkbox"/> NO    GIVE KIND OF LICENSE AND STATE: FIRST LICENSE OR CERTIFICATE (YEAR): _____ LATEST LICENSE OR CERTIFICATE (YEAR): _____					
<b>21. LIST ANY SPECIAL SKILLS YOU POSSESS AND MACHINES AND EQUIPMENT YOU CAN USE, SUCH AS OPERATION OF SHORT-WAVE RADIO, MULTILITH, COMPTON-ETER, KEY-PUNCH, TURRET LATHE, SCIENTIFIC OR PROFESSIONAL DEVICES.</b> _____		<b>23. GIVE ANY SPECIAL QUALIFICATIONS NOT COVERED ELSEWHERE IN YOUR APPLICATION SUCH AS:</b> (A) YOUR MORE IMPORTANT PUBLICATIONS (do not submit copies unless requested) (B) YOUR PATENTS OR INVENTIONS (C) PUBLIC SPEAKING AND PUBLIC RELATIONS EXPERIENCE (D) MEMBERSHIP IN PROFESSIONAL OR SCIENTIFIC SOCIETIES, ETC. (E) HONORS AND FELLOWSHIPS RECEIVED.					
APPROXIMATE NUMBER OF WORDS PER MINUTE IN TYPING _____, SHORTHAND _____							



FULL NAME	PRESENT BUSINESS OR HOME ADDRESS (Give complete current address, including street and number)	BUSINESS OR OCCUPATION
1.		
2.		
3.		

[illegible]

Before signing this application check back over it to make sure that you have answered ALL questions correctly.  
I CERTIFY that the statements made by me in this application are true, complete, and correct to the best of my knowledge and belief, and are made in good faith.





ask why and how. The interview should be conducted, if at all possible, in a quiet, comfortable place. In the case of some positions, like typist, a short performance test may be given to get a work sample.

After the interviews are complete, a decision is made by the supervisor or supervisors concerned as to which applicant of the three to select, and the Industrial Relations Department is notified. It is important to note that it is not the Industrial Relations Department but it is the line supervisor who has the right of ultimate decision in the selection of employees. Along with this right goes the responsibility of selecting good employees.

The Industrial Relations Department then sends the selected applicant an offer of appointment which is called a "Notification of Personnel Action" advising him of his appointment and telling him when to report for work. An example of such an offer is shown in Figure 6.

There are three main types of appointments which may be made to civil service positions in graded civil service. They may be summarized as follows:

1. Probational appointment.--A person is offered a probational appointment as a result of the employment and selection process described earlier in this chapter. This is the usual procedure of appointing employees. The first year of service under a probational appointment is a probationary period, during which the fitness of the employee will be

NAVY DEPARTMENT

NOTIFICATION OF PERSONNEL ACTION

1. NAME [MR.—MISS—MRS.— ONE GIVEN NAME, INITIAL[s], AND SURNAME] <b>Miss Jane A. Doe</b>		2. DATE OF BIRTH <b>2/18/19</b>	3. JOURNAL OR ACTION NO. <b>403</b>	4. DATE <b>10/31/50</b>																		
This is to notify you of the following action affecting your employment subject to provisions on reverse, par.																						
5. NATURE OF ACTION [USE STANDARD TERMINOLOGY] <b>Probational Appointment</b>		6. EFFECTIVE DATE <b>11/1/50</b>	7. CIVIL SERVICE OR OTHER LEGAL AUTHORITY <b>6th U.S.Civil Service Region Cincinnati, Ohio. Cert. No. 1082 dtd. 9/30/50</b>																			
FROM		TO																				
8. POSITION TITLE <b>Clerk-Typist</b>		9. SERVICE, SERIES, GRADE, SALARY <b>GS-2, \$2450 p.a.</b>																				
10. ORGANIZATIONAL DESIGNATIONS <b>Supply Dept., Control Division, Receipt Control and Procurement Section</b>		11. HEADQUARTERS <b>U.S. Naval Air Station Columbus 9, Ohio</b>																				
12. FIELD OR DEPT'L <input type="checkbox"/> FIELD <input checked="" type="checkbox"/> DEPARTMENTAL		12. FIELD OR DEPT'L <input checked="" type="checkbox"/> FIELD <input type="checkbox"/> DEPARTMENTAL																				
13. VETERAN'S PREFERENCE <table border="1"><tr><td>NONE</td><td>WWII</td><td>OTHER</td><td>5-PT.</td><td>10-POINT</td></tr><tr><td><input checked="" type="checkbox"/></td><td></td><td></td><td></td><td></td></tr></table>		NONE	WWII	OTHER	5-PT.	10-POINT	<input checked="" type="checkbox"/>					14. POSITION CLASSIFICATION ACTION <table border="1"><tr><td>NEW</td><td>VICE</td><td>I.A.</td><td>REAL</td></tr><tr><td><input checked="" type="checkbox"/></td><td></td><td></td><td></td></tr></table>			NEW	VICE	I.A.	REAL	<input checked="" type="checkbox"/>			
NONE	WWII	OTHER	5-PT.	10-POINT																		
<input checked="" type="checkbox"/>																						
NEW	VICE	I.A.	REAL																			
<input checked="" type="checkbox"/>																						
15. SEX <b>F</b>	16. RACE	17. APPROPRIATION FROM: TO: <b>A &amp; F, Navy, 1951</b>		18. SUBJECT TO C. S. RETIREMENT ACT YES—NO <b>Yes</b>																		
19. DATE OF APPOINTMENT AFFIDAVITS (ACCESSIONS ONLY) <b>11/1/50</b>		20. LEGAL RESIDENCE <input checked="" type="checkbox"/> CLAIMED <input type="checkbox"/> PROVED STATE: <b>Ohio</b>																				

21. REMARKS: THIS ACTION IS SUBJECT TO ALL APPLICABLE LAWS, RULES, AND REGULATIONS AND MAY BE SUBJECT TO INVESTIGATION AND APPROVAL BY THE UNITED STATES CIVIL SERVICE COMMISSION. THE ACTION MAY BE CORRECTED OR CANCELLED IF NOT IN ACCORDANCE WITH ALL REQUIREMENTS.

Paragraphs printed below are applicable to this action only if so designated on the reverse side hereof.

- A. This appointment is subject to a probationary period of one year.
- B. New appointees must have executed Standard Form No. 61 and entered on duty before any payment of salary can be made.
- C. You do not, by this action, acquire a competitive status, or, except as previously granted, become eligible for any other position or duties.
- D. Reassignment at your present rate of pay is not considered justifiable, as it would not be conducive to the best morale of the office to which you are being assigned.
- E. This reassignment is issued with the understanding that you will be relieved of all Group IVb duties, and will be assigned duties strictly within the scope of the Group to which you are being assigned.
- F. You will report for duty in the Department and Section/Shop shown in Item 10 (on reverse side hereof) on the date shown in Item 6 (on reverse side hereof).
- G. You were afforded an opportunity to submit a statement in your own behalf. However, your statement is not considered a satisfactory explanation for the charge preferred.
- H. You were afforded an opportunity to submit a statement in your own behalf but failed to avail yourself of this opportunity.
- I. You are advised of your right to submit, within 6 months from date of removal, a sworn statement to the appropriate Regional Office of the Civil Service Commission setting forth fully and in detail the facts surrounding your removal. The Commission may within its discretion make investigation to determine your eligibility for reinstatement insofar as suitability and fitness are concerned.
- J. No objection is interposed to your employment elsewhere in the government service.
- K. You will report for duty at the earliest practicable date and your commanding officer will advise the Department of the date thereof for the completion of the record.
- L. Your record at the Navy Department will be closed and your name taken up on rolls of activity in the same manner as persons taken on through the Board of U.S. Civil Service Examiners. Your rate of pay will be governed by the schedule of wages for the activity.
- M. If you are reemployed prior to the expiration of the period for which lump-sum leave payment was made, you will be required to refund the amount received for the balance of the period involved, including the tax withheld at the time of payment.

NOTIFICATION OF PERSONNEL ACTION

NAVY DEPARTMENT



determined. The employee may be discharged with a minimum of red tape during this period. Upon satisfactory completion of the probationary period, the employee becomes a permanent employee and can be removed from the Federal service only in compliance with applicable rules and regulations.<sup>10</sup>

2. Temporary appointment.--When there are no eligibles on a register for any position in which a vacancy exists, and the public interest requires that the vacancy be filled before eligibles can be certified, a temporary appointment may be issued until a register of eligibles is established and selection be made in the usual way.<sup>11</sup>

3. Indefinite appointment.--At the present time (May 1951), and since 1 December 1950, the Civil Service Commission has directed that all appointments be made indefinite. This is in order to give governmental agencies flexibility in employment procedures/during the present emergency. It is anticipated that the Commission will return to the system of probational appointment as soon as possible. An employee holding a temporary appointment may be discharged at any time should the labor requirements of the activity decrease. Temporary appointments, however, are made through the usual employment processes of selection from a register of eligibles. The only difference is in the type of appointment offered.

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<sup>10</sup> Ibid., p. 9.

<sup>11</sup> Navy Civilian Personnel Instructions, op. cit., Instruction 10, p. 7.



### Induction of the New Employee

The next step in the employment procedure is that of inducting the new employee into his new surroundings and on the job. There is a growing recognition that the induction process is worth handling carefully.<sup>12</sup> Some means of induction, formal or informal, is carried on at all Naval shore activities for new civil service employees. While certain aspects are performed by the Industrial Relations Department, the departmental supervisors have a definite part to play.

Why is a good induction program important? The following reasons cited by Calhoun<sup>13</sup> provide an answer to this question:

1. First impressions, whether favorable or unfavorable, take a long time to erase. The conditioning process receives such a great impetus in the first few weeks of employment that an organization should do its utmost to make the new employee feel at home and to give him the emotional satisfaction of liking and belonging.

2. It is an educational opportunity which is soon lost. The employee is receptive and since everything is so new he can absorb a great deal of properly presented material.

3. Here is the opportunity for preventive medicine. Discipline problems arise through ignorance and misunderstanding. Competent explanation starts the new employee off with a correct understanding of policies.

The aims of a good induction program are to make the new employee feel a part of the organization and to facilitate his becoming a productive employee as soon as possible.

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<sup>12</sup>Michael J. Jucius, Personnel Management (Chicago: Richard D. Irwin, Inc., 1947), p. 170.

<sup>13</sup>Richard P. Calhoun, Problems in Personnel Administration (New York: Harper and Brothers, Publishers, 1947), p. 141.





While the induction program will differ from one Naval activity to another, most programs will provide for the following:

1. Identification cards and gate passes.
2. A physical examination.
3. A complete and understandable explanation of the duties of the position.
4. A discussion of the local organization structure and its relationship to other units of the Naval establishment.
5. A discussion of pertinent Civil Service rules and policies.
6. A discussion of pertinent local rules and policies.
7. An explanation of the salary system and the various payroll deduction plans--bonds, hospitalization, savings, etc.
8. A discussion of promotion policy.
9. A "Cook's tour" of the activity.
10. Introduction to appropriate supervisors and employees.
11. An offer of aid in solving such personal problems as housing and transportation.
12. A definite attempt to promote the employee's feeling of personal participation in the activity's efforts.



As may be seen from the program outlined above, much of it may be performed by the Industrial Relations Department as a matter of routine. On the other hand, much of it must be done on the operating department level. Hence, it is the responsibility of department heads and departmental supervisors to see that a definite, well-planned induction program for new employees is carried out. It may well mean the difference between a dissatisfied employee or a well-motivated one.

### Follow-Up

The final step in the employment process is follow-up to see if the induction program was effective and if the new employee is becoming properly adjusted to his new position and surroundings.

This follow-up may consist of formal or informal interviews by representatives of the Industrial Relations Department, either on the job or in the Personnel Office. This follow-up must also consist of observation and evaluation of the employee by his line supervisors and department head.

As a matter of routine, probationary employees should be given such occupational guidance as is warranted, and if they fail to demonstrate suitability for career employment, they should be fully appraised and separated before the



expiration of their probationary period.<sup>14</sup>

The attitude with which all this follow-up should be done should reflect a spirit of friendly, personal interest. This cannot be done if it is not consciously sought throughout the organization. The department head alone cannot establish it, nor the Industrial Relations Department, nor the fellow-employees. The process of becoming an effective, happy, productive employee requires the sincere and thoughtful cooperation of all in management and all the employees.<sup>15</sup>

### Summary

The process of recruitment and employment, with its four steps of recruitment, selection and appointment, induction, and follow-up, is probably the most important of the personnel management procedures for which the line supervisor or executive is responsible. It is here that the future of the work force is determined. It is true that training and other means of development can do much to improve the work force. But training will not succeed unless selection has been good in the beginning. All supervisors must remember that in selecting a new employee they are not just

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<sup>14</sup> OIR Newsletter (Washington: Office of Industrial Relations, Department of the Navy, April, 1950), p. 3.

<sup>15</sup> Tead and Metcalf, op. cit., p. 78.



filling vacancies, but should select employees who have both the technical requirements to perform the duties of the position and also the personnel characteristics to fit into that particular group of employees.





## CHAPTER VII

### PERFORMANCE RATINGS

#### Definition and Value

Performance rating is the name given to the service rating or merit rating used in federal civil service. A merit rating plan has been defined as "a systematic evaluation of the worth of an individual to the organization, usually made by a supervisor or someone in a position to observe his performance."<sup>1</sup> By providing a periodic record as to employee performance, a merit rating plan should objectify the application of personnel policies with respect to promotions, salary increases, leaves of absence, separations, and other personnel actions.<sup>2</sup>

The values which may be contributed by a performance rating plan are numerous, and they are of benefit to the employee (ratee), to the supervisor (rater), and to management. These values may be summarized as follows:

1. If the performance rating program has been properly presented to the ratees, it can help to increase morale and

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<sup>1</sup> Roger M. Bellows, Psychology of Personnel in Business and Industry (New York: Prentice-Hall, Inc., 1949), p. 234.

<sup>2</sup> Albert H. Aronson, "Service Rating Plans," Readings in Public Personnel Administration (Chicago: Civil Service Assembly of the United States and Canada, 1942), p. 109.



confidence in the fairness of Naval management.<sup>3</sup>

2. Performance ratings assist employees by providing them with information as to how well they are individually meeting the performance requirements of their jobs and by indicating wherein there is room for improvement.

3. Performance ratings assist the Naval command (management) in determining proper action in cases of salary increases, in determination of training needs, promotions, re-assignments, and actions under reduction in force regulations.<sup>4</sup>

4. When grievances arise over promotions, salary increases, and the like, the availability of a series of performance ratings which have been discussed with the employee provides management with information that will help to satisfy the aggrieved employees.

5. A performance rating plan will improve supervision. Supervisors and executives who must periodically rate their subordinates, will tend to be more observant of these employees, and hence tend to become better day-to-day supervisors.<sup>5</sup>

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<sup>3</sup> Bellows, op. cit., p. 236.

<sup>4</sup> Management, An Advanced Course for Naval Reserve Supply Corps Officers (Bayonne, N.J.: The Navy Supply Corps School, 1950), p. 98.

<sup>5</sup> Michael J. Jucius, Personnel Management (Chicago: Richard D. Irwin, Inc., 1947), p. 427.



6. A performance rating gives supervisors a record of progress or difficulties, which they should discuss with each employee, commending good work, pointing out deficiencies, and suggesting possibilities for improvement.<sup>6</sup>

7. Finally, insofar as the performance rating system operates as an incentive, it is contributing to the ends of the whole personnel program.<sup>7</sup>

In order that all concerned--employees, supervisors, top management--may make the most of these values to be derived from the performance rating plan, it is most important that supervisors and executives responsible for the preparation of ratings and the administration of the plan perform their duties efficiently and conscientiously.

### Performance Rating Procedures

The form used in preparing performance ratings of graded civil service employees at Naval shore activities is shown in Figure 7. This system of rating became effective on 29 December 1950, superseding the "Efficiency Rating Plan" used prior to that date.

Official performance ratings of graded civil service employees must be prepared at least annually. Each activity

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<sup>6</sup> Paul Pigors and Charles A. Myers, Personnel Administration (New York: McGraw-Hill Book Company, Inc., 1947), p. 171.

<sup>7</sup> William E. Mosher and J. Donald Kingsley, Public Personnel Administration (New York: Harper and Brothers, Publishers, 1941), p. 481.



PERFORMANCE RATING  
NAVEXOS-3238 (12-50)

PERFORMANCE RATING FORM

FIGURE 7

TYPE OF POSITION				KIND OF RATING	
<input type="checkbox"/> GRADED SUPERVISORY	<input checked="" type="checkbox"/> GRADED NON-SUPERVISORY	<input type="checkbox"/> UNGRADED SUPERVISORY	<input type="checkbox"/> UNGRADED NON-SUPERVISORY	<input checked="" type="checkbox"/> OFFICIAL	<input type="checkbox"/> UNOFFICIAL
NAME <b>Jane A. Doe</b>				RATING PERIOD FROM <b>11/1/50</b> TO <b>1/31/51</b>	
CHECK NO. <b>6043</b>	PAYROLL TITLE <b>Clerk-Typist</b>			UNIT, SECTION OR SHOP <b>Supply Dept.-Control Division</b>	
NAME OF ACTIVITY <b>U. S. Naval Air Station</b>				LOCATION OF ACTIVITY <b>Columbus 9, Ohio</b>	

EXPLANATION

Mark characteristic work performance in each factor. In marking supervisors, also consider effectiveness as a supervisor in getting work done.

DEFINITIONS

OUTSTANDING - All aspects of performance not only exceeded normal requirements but were outstanding and, in addition, deserved special commendation.

SATISFACTORY - Acceptable performance that met or exceeded minimum requirements.

UNSATISFACTORY - Performance that clearly failed to meet minimum requirements.

FACTORS

Use O, S, and U to denote Outstanding, Satisfactory and Unsatisfactory performance respectively. Each "O" or "U" rating must be supported by supervisor's signed statement attached hereto showing specifically and in detail wherein employee's performance was outstanding or unsatisfactory.

QUALITY OF WORK \_\_\_\_ ( **S** )

QUANTITY OF WORK \_\_\_\_ ( **S** )

ADAPTABILITY \_\_\_\_ ( **S** )

ADJECTIVE PERFORMANCE RATING

"O" marks in all three factors, fully supported in writing \_\_\_\_\_ OUTSTANDING \_\_\_\_ ( )

"S", or "S" and "O" marks \_\_\_\_\_ SATISFACTORY \_\_\_\_ ( **S** )

One or more "U" marks, fully supported in writing \_\_\_\_\_ UNSATISFACTORY \_\_\_\_ ( )

DEVIATIONS MAY BE MADE BUT MUST BE JUSTIFIED IN WRITING

DATE \_\_\_\_\_

NOTICE TO EMPLOYEE

BY THIS COPY OF YOUR PERFORMANCE RATING FOR THE PERIOD INDICATED YOU ARE NOTIFIED WHAT YOUR ADJECTIVE RATING IS AND HOW IT IS DEFINED. IF THIS IS AN OFFICIAL RATING YOU HAVE A RIGHT TO APPEAL IT WITHIN 30 DAYS AFTER RECEIPT OF THIS NOTICE. CONSULT YOUR SUPERVISOR OR YOUR PERSONNEL OFFICER AS TO YOUR APPEAL RIGHTS.





may select rating dates that best meet its requirements. For example, all employees may be rated at the same time, or they may be rated on the anniversary of their employment.<sup>8</sup>

Although the official rating is only required annually, it is a good policy to give the employee a formal rating every six months.

The performance rating is prepared initially by the immediate supervisor who assigns and is responsible for the work of the employee being rated. This supervisor may be either a civilian or a Naval officer, depending on the organization structure. This rater's responsibilities throughout the rating period have been designated by the Navy Department to include:<sup>9</sup>

1. Informing employees fully of the performance requirements they are expected to meet.

2. Discussing performance with employees on a continuing basis.

3. Rendering reasonable assistance when needed to improve employee performance and to strengthen supervisor-employee relationships.

4. Evaluating employees performance fairly and accurately in performance ratings in relation to performance requirements.

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<sup>8</sup> Navy Civilian Personnel Instructions (Washington: Office of Industrial Relations, Department of the Navy), Instruction 130, p. 1.

<sup>9</sup> Ibid., p. 2.



5. Informing employees of their performance ratings.

6. Taking or recommending appropriate action when an employee's sustained performance is outstanding in all factors or unsatisfactory in any factor.

The initial review of the performance rating is made by the higher supervisor who normally controls and is responsible for the work of the rater. Again, this supervisor may be either a civilian or a Naval officer. The reviewer is responsible for supervising the rater, and in his review, insuring that employee performance has been evaluated as fairly and accurately as possible.<sup>10</sup>

After the initial review, the performance rating is then submitted to a Performance Rating Board at the local Naval activity. This board is composed of three or more members (both civilians and Naval officers) and is usually advised and assisted by the Industrial Relations Officer. The Performance Rating Board performs the following duties:<sup>11</sup>

1. Reviewing performance rating to assure that the requirements and policies of the Performance Rating Plan are being carried out properly.

2. Approving performance ratings.

3. Changing performance ratings when in the interest of good administration.

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<sup>10</sup> Loc. cit.

<sup>11</sup> Loc. cit.



#### 4. Conducting appeal hearings when appeals are made.

As may be seen from the performance rating form in Figure 7, each civil service employee is rated on three factors, quality of work, quantity of work, and adaptability. Each of these factors must be rated on characteristic performance of the employee, not isolated instances of performance.

The rater uses the symbols, O, S, and U, denoting outstanding, satisfactory, and unsatisfactory performance respectively, in marking the three factors referred to above. These objective rating levels may be defined as follows:<sup>12</sup>

Outstanding -- all aspects of performance not only exceed normal requirements but are outstanding and deserve special commendation. Such a rating must be supported by the supervisor's signed statement.

Satisfactory -- performance ranging from excellent to just above unsatisfactory. This is the level at which most employees will be rated.

Unsatisfactory -- performance that clearly fails to meet minimum requirements. Such a rating must be supported by the supervisor's signed statement.

These individual factor marks are converted to an overall adjective performance rating of outstanding, satisfactory, or unsatisfactory, with the use of the conversion

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<sup>12</sup>Ibid., p. 4.



table shown on the rating form. As soon as possible after the initial rating is prepared, the preparing supervisor must discuss it with the employee. The rating is then given the initial review by the higher supervisor and becomes official after final review and approval by the Performance Rating Board. A copy is then furnished the individual employee.

Civil service employees entering on duty at the Naval shore activity (by appointment, transfer, etc.) are given tentative ratings of Satisfactory for the first ninety-day period of work. At the end of this time, the employee is given a performance rating based on work actually performed.<sup>13</sup> Thus this is a part of the follow-up procedure described in the preceding chapter.

The Performance Rating Plan provides that no employee shall be given an unsatisfactory rating without a ninety-day prior warning and a reasonable opportunity to demonstrate satisfactory performance. This warning must notify the employee, specifically, in detail, wherein his performance is unsatisfactory and how he may improve.<sup>14</sup> He should be given any supervisory assistance necessary.

Employees receiving unsatisfactory or satisfactory performance ratings which they consider in error may appeal these ratings. An unsatisfactory rating may be appealed,

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<sup>13</sup> Ibid., p. 5.

<sup>14</sup> Ibid., p. 3.





first, to the Performance Rating Board of the activity, and, if the employee is dissatisfied with this decision, the rating may be appealed to a statutory Board of Review. A satisfactory rating may be appealed either to the Performance Rating Board or to a Board of Review, but not to both. Statutory Boards of Review are established by Regional offices of the Civil Service Commission. They consist of three members, a chairman, who is an employee of the Commission, an employee member, elected by the employees of the Naval activity, and a management member from the Naval activity.<sup>15</sup> Such an appeal system insures that the employee will receive an impartial, carefully considered performance rating.

#### Rating Errors and Means of Improvement

Admittedly, it is very difficult for a supervisor to prepare a performance rating which is valid and reliable. The following are examples of errors made by supervisors in making a formal rating of their subordinates:

1. Permitting personal likes and dislikes to influence ratings.
2. Over-rating employees with the thought of forestalling criticism.
3. Basing ratings on a few recent or isolated incidences rather than on a sustained, characteristic

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<sup>15</sup> Ibid., p. 6.



performance.<sup>16</sup>

4. Failing to recognize the difference between ability and performance.

5. Over-rating older employees and under-rating younger employees.

6. Over-rating employees trained by the supervisor himself.

7. Feeling that rating is a nuisance, rather than an important management duty.<sup>17</sup>

8. The halo effect which is forming a general opinion of a subordinate and allowing this to influence ratings on specific traits.

9. The generosity error, which is tending to give the subordinate the benefit of the doubt, rather than following a process of careful evaluation.<sup>18</sup>

How may raters attempt to correct these errors, and give a greater validity to their ratings? The following means have been suggested:

1. Every supervisor should thoroughly understand the procedures of the performance rating plan.<sup>19</sup>

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<sup>16</sup> Frank Cushman and Robert W. Cushman, Improving Supervision (New York: John Wiley and Sons, Inc., 1947), p. 226.

<sup>17</sup> Mosher and Kingsley, op. cit., p. 482.

<sup>18</sup> Lee J. Cronbach, Essentials of Psychological Testing (New York: Harper and Brothers, Publishers, 1949), p. 397.

<sup>19</sup> Cushman and Cushman, op. cit., p. 226.



2. The raters should be thoroughly instructed in the purposes of the plan, and the values to be derived from it.

3. Raters must observe the ratees in terms of the factors in which they are rated.

4. Raters should allow enough time and find a relatively quiet place to do the rating.

5. Raters will find it helpful to rate all employees one factor at a time, rather than completing one employee at a time.

6. Raters should not allow recent events or isolated impressions which are not typical of the employees' performance to unduly influence the rating.<sup>20</sup>

7. All judgments must be based on observations of concrete action. Mere guessing should be discouraged.<sup>21</sup>

8. The supervisor must at all times remember the importance of the rating to himself, to the employee, and to the Navy.

### Summary

The Performance Rating Plan has a most important place in the management of Naval shore activities. It is the basis

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<sup>20</sup> Jucius, op. cit., p. 442.

<sup>21</sup> Walter D. Scott, Robert C. Clothier, and William R. Spriegel, Personnel Management (New York: McGraw-Hill Book Company, Inc., 1949), p. 205.



for a number of personnel actions. For this reason it is important to the civil service employee, to the supervisor, and to top management.

At best, any rating plan is bound to have faults. In order to make a rating plan work, the constant effort of all supervisory personnel is necessary, not only at rating time, but during the entire rating period. It is then that the values to be derived from the Performance Rating Plan may be realized.





## CHAPTER VIII

### PROMOTIONS AND DEMOTIONS

#### Introduction

The two types of labor sources, external and internal, were mentioned in Chapter VI. That chapter discussed the external source, recruitment from outside the organization. This chapter is devoted to a discussion of the internal source of labor, promotion from within. It also includes a discussion of demotions, or changes to a lower graded position. A promotion in civilian industry has been defined as "an advancing of workers to new positions requiring greater ability, involving greater responsibilities, and commanding higher pay."<sup>1</sup> This same definition of a promotion may be applied to such action in the graded civil service.

The objectives of any personnel action are twofold; first, to enable the organization to become more efficient in the accomplishment of its service objectives or mission, and, second, to enable the employees to accomplish their personal objectives. From this viewpoint, then, what are the advantages of promotion as contrasted with outside

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<sup>1</sup>Ordway Tead and Henry C. Metcalf, Personnel Administration (New York: McGraw-Hill Book Company, Inc., 1933), p. 206.



recruitment? These advantages may be summarized as follows:

1. The use of promotions raises the morale of employees because they are thereby given evidence that they are preferred over outsiders when good vacancies occur.

2. Management is in a much better position to evaluate the abilities of present employees than it can outside candidates.<sup>2</sup>

3. Promotions are essential in furnishing an effective incentive to initiative, enterprise, and ambition.

4. Promotions are necessary as a means of conserving proved skills, training, and ability.

5. A promotion plan is a great aid in attracting suitable and competent workers to Naval civil service.<sup>3</sup>

6. A good promotion plan will encourage the able and ambitious employees to come to the front and take advantage of the training and educational program.

7. A promotion policy will reduce labor turnovers by enabling workers to step up in the organization rather than step out when they feel they have reached the limits of their particular position.<sup>4</sup>

As with every policy, there are disadvantages as well

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<sup>2</sup>Michael J. Jucius, Personnel Management (Chicago: Richard D. Irwin, Inc., 1947), p. 127.

<sup>3</sup>Gordon S. Watkins and Paul A. Dodd, The Management of Labor Relations (New York: McGraw-Hill Book Company, Inc., 1938), p. 301.

<sup>4</sup>Teed and Metcalf, op. cit., p. 208.



as advantages. The disadvantages of a policy of promotion from within have been cited as follows:

1. The danger of "inbreeding." Promotions fail to bring "new blood" into the organization except on the lower levels.
2. The policy of promotions breaks down in periods when large numbers of vacancies occur or are created.<sup>5</sup>
3. A blind adherence to promotion may lead to the upgrading of unqualified employees, or to political favoritism within the organization.

Despite these disadvantages, the many personnel advantages to the organization which may be derived from a plan for promotion from within, have made it recognized as a basic policy in good personnel management.

#### Naval Civil Service Promotion Policies and Procedures

The Navy Department has long recognized the desirability of promotion from within. Indeed, many capable Naval civilian administrators are people who "started at the bottom." The Navy's policy on promotion of graded civil service employees has been well stated in the following:

Navy Department policy in regard to promotions is to provide employees with opportunities for advancement by promotion or reassignment to positions for which they are best suited, thereby obtaining maximum

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<sup>5</sup> Jucius, op. cit., p. 128.



utilization of employees' skills and qualifications. If persons are equally qualified, first consideration in filling vacancies is given to employees in the immediate activity. Other factors being equal, length of service should govern selections for promotion. An outside candidate is hired only after the qualifications of all available candidates within the activity have been reviewed and it is considered that the outside candidates' qualifications are superior to those of any candidate within the activity.<sup>6</sup>

In order to carry out the general promotion policy, the Office of Industrial Relations has directed that local Naval shore activities carry out the following specific actions:<sup>7</sup>

1. Establish a competent training and employee development program to prepare employees for greater responsibilities. Such a program may include on-the-job training, work simplification training, instructor and conference leader training, supervision development, professional development, executive development, and other miscellaneous courses.

2. Establish in writing the local promotion policy which will be consistent with the general policy described above.

3. Wherever promotional opportunities occur, employees in the direct line of promotion must be given

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<sup>6</sup> Personnel Administration (Washington: Bureau of Naval Personnel, Department of the Navy, 1949), p. 56.

<sup>7</sup> Navy Civilian Personnel Instructions (Washington: Office of Industrial Relations, Department of the Navy), Instruction 160, p. 1.





consideration.

4. Qualification requirements for promotion must be established in terms of the kind and quality of work to be performed.

5. The standards employed in selection must be equitably and universally applied regardless of the source of the candidate.

6. Every effort must be made to release employees selected for promotion within a minimum time consistent with good administration.

It may be seen then, that for a civil service employee to be promoted he must meet all the qualifications of the higher position, that is for education, experience, etc. The employee may often have to take a written test as further demonstration of ability. Also, in some instances a minimum length of service is required in a lower grade before promotion.

As was discussed in an earlier chapter, the positions are classified and not the employees, thus although employees may receive periodic "within grade" salary increases while in the same position, to be promoted in the sense of the definition given earlier, the employee must do one of two things:

1. Move to a position with a higher classification.
2. Have his own position reclassified in a higher grade as a result of an increase or change in the duties of



the position.

The basic responsibility for promotions lies with the line departments, with the Industrial Relations Department rendering advice and assistance in a staff capacity. Thus the line supervision should initiate a promotion recommendation subject to the approval of the head of department, who should check on the fairness of promotions and insure that the Navy policy is consistently administered. In this, of course, the Industrial Relations Department can be of great help. The Industrial Relations Department also is responsible for the "paper work" involved, such as changing records, securing commission approval if necessary, etc.

The employee is officially informed of his promotion by a "Notification of Personnel Action," an example of which is shown in Figure 8. It is important, in the interests of good supervisor-employee relations that the employee be informed unofficially by his immediate supervisor. The supervisory personnel are also responsible to see that the employee is properly inducted into the new position. Some of the induction steps discussed in Chapter VI will also be necessary and appropriate in the case of a promotion to another position.

### Demotions

Occasionally, in the interests of good administration, and to promote the efficiency of the Navy, it may be necessary

NAVY DEPARTMENT

NOTIFICATION OF PERSONNEL ACTION

1. NAME [MR.—MISS—MRS.— ONE GIVEN NAME, INITIAL[S], AND SURNAME] <b>Miss Jane A. Doe</b>		2. DATE OF BIRTH <b>2/18/19</b>	3. JOURNAL OR ACTION NO. <b>425</b>	4. DATE <b>5/25/51</b>
This is to notify you of the following action affecting your employment subject to provisions on reverse, par.				
5. NATURE OF ACTION [USE STANDARD TERMINOLOGY] <b>Promotion</b>		6. EFFECTIVE DATE <b>6/12/51</b>	7. CIVIL SERVICE OR OTHER LEGAL AUTHORITY <b>CS Reg. 8.103</b>	
<b>FROM</b>		<b>TO</b>		
<b>Clerk-Typist</b>		8. POSITION TITLE <b>Clerk-Typist</b>		
<b>GS-2, \$2450 p.a.</b>		9. SERVICE, SERIES, GRADE, SALARY <b>GS-3, \$2650 p.a.</b>		
<b>Supply Dept., Control Div., Receipt Control and Procurement Section</b>		10. ORGANIZATIONAL DESIGNATIONS <b>Same</b>		
<b>U.S. Naval Air Station Columbus 9, Ohio</b>		11. HEADQUARTERS <b>Same</b>		
<input checked="" type="checkbox"/> FIELD	<input type="checkbox"/> DEPARTMENTAL	12. FIELD OR DEPT'L	<input checked="" type="checkbox"/> FIELD	<input type="checkbox"/> DEPARTMENTAL
13. VETERAN'S PREFERENCE NONE WWII OTHER S-PT. 10-POINT DISAB.		14. POSITION CLASSIFICATION ACTION NEW VICE I.A. REAL <input checked="" type="checkbox"/>		
15. SEX <b>F</b>	16. RACE	17. APPROPRIATION FROM: TO: <b>A &amp; F, Navy, 1951</b>	18. SUBJECT TO C. S. RETIREMENT ACT (YES—NO) <b>Yes</b>	19. DATE OF APPOINTMENT AFFIDAVITS (ACCESSIONS ONLY)
			20. LEGAL RESIDENCE <input checked="" type="checkbox"/> CLAIMED <input type="checkbox"/> PROVED STATE: <b>Ohio</b>	
21. REMARKS: THIS ACTION IS SUBJECT TO ALL APPLICABLE LAWS, RULES, AND REGULATIONS AND MAY BE SUBJECT TO INVESTIGATION AND APPROVAL BY THE UNITED STATES CIVIL SERVICE COMMISSION. THE ACTION MAY BE CORRECTED OR CANCELLED IF NOT IN ACCORDANCE WITH ALL REQUIREMENTS.				
<p>(1) In retention Group B for purposes of reduction in force.</p> <p>(2) Permanent employee within the meaning of the leave regulations.</p> <p>(3) Entitled to receive periodic within-grade salary advancements and additional within-grade salary advancements as awards for superior accomplishment.</p> <p>(4) Not subject to displacement under Section 10-112 of the Civil Service Regulations until such time as the Commission determines that displacement will not interfere with the national security or the foreign assistance program.</p>				

ENTRANCE EFFICIENCY RATING:

22. SIGNATURE OR OTHER AUTHENTICATION

1. EMPLOYEE COPY

Paragraphs printed below are applicable to this action only if so designated on the reverse side hereof.

A. This appointment is subject to a probationary period of one year.

B. New appointees must have executed Standard Form No. 61 and entered on duty before any payment of salary can be made.

C. You do not, by this action, acquire a competitive status, or, except as previously granted, become eligible for any other position or duties.

D. Reassignment at your present rate of pay is not considered justifiable, as it would not be conducive to the best morale of the office to which you are being assigned.

E. This reassignment is issued with the understanding that you will be relieved of all Group IVb duties, and will be assigned duties strictly within the scope of the Group to which you are being assigned.

F. You will report for duty in the Department and Section/Shop shown in Item 10 (on reverse side hereof) on the date shown in Item 6 (on reverse side hereof).

G. You were afforded an opportunity to submit a statement in your own behalf. However, your statement is not considered a satisfactory explanation for the charge preferred.

H. You were afforded an opportunity to submit a statement in your own behalf but failed to

avail yourself of this opportunity.

I. You are advised of your right to submit, within 6 months from date of removal, a sworn statement to the appropriate Regional Office of the Civil Service Commission setting forth fully and in detail the facts surrounding your removal. The Commission may within its discretion make investigation to determine your eligibility for reinstatement insofar as suitability and fitness are concerned.

J. No objection is interposed to your employment elsewhere in the government service.

K. You will report for duty at the earliest practicable date and your commanding officer will advise the Department of the date thereof for the completion of the record.

L. Your record at the Navy Department will be closed and your name taken up on rolls of activity in the same manner as persons taken on through the Board of U.S. Civil Service Examiners. Your rate of pay will be governed by the schedule of wages for the activity.

M. If you are reemployed prior to the expiration of the period for which lump-sum leave payment was made, you will be required to refund the amount received for the balance of the period involved, including the tax withheld at the time of payment.

ACTION		TO	
PROMOTION		2/18/21	CS 100-8-102
2. NATURE OF ACTION (SEE REVERSE SIDE HEREOF)		2. EFFECTIVE DATE	3. CIVIL SERVICE C. ORDER NUMBER
MRS. JANE V. DOE		2/18/21	432
1. NAME (MR.-MRS.-MRS.-ONE GIVEN NAME, INITIALS, AND SURNAME)		2. DATE OF BIRTH	3. CIVIL SERVICE C. ORDER NUMBER
		2/18/21	432

## NOTIFICATION OF PERSONNEL ACTION



to demote a civil service employee. A demotion is the opposite of a promotion as defined above. That is, it is moving the employee to a position requiring less ability, involving fewer responsibilities, receiving lower pay, and in a lower grade.

Generally speaking, graded civil service employees are demoted as a result of one of the following actions:

1. Their present position is reclassified and assigned to a lower grade. However, in such a situation a strong attempt is usually made by the Naval activity to re-assign the employee to a position in the higher grade.
2. The employee is reassigned to a position in a lower grade as a result of disciplinary action. The subject of disciplinary action will be discussed in Chapter X.
3. In connection with a general reduction in the labor force, the employee is moved to a position in a lower grade. In such a situation, the employee may be glad to accept a demotion rather than a complete dismissal.
4. If the employee receives an "unsatisfactory" performance rating, the Performance Rating Act of 1950 requires "removal from the position in which unsatisfactory performance was rendered."<sup>8</sup> This usually results in a demotion or a dismissal.

Thus, as in the case of a promotion, a demotion requires that the employee be reassigned to another position.

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<sup>8</sup> Ibid., Instruction 130, p. 6.





### Summary

The requirements of sound recruitment and placement have been but partially met when the best available candidates have been recruited into Naval Civil Service.<sup>9</sup> There must be an opportunity for employees to develop and advance. This need is filled by an adequate promotion policy.

The organization and administration of the Navy's promotion and demotion plans is a great responsibility of all supervisory personnel, both civilian and Naval officers. As with any personal action, these must be performed with intelligence, insight and judgment. Supervisors must use all aids at their disposal (such as Performance Ratings) to make intelligent, fair and consistent decisions. This is necessary to promote greater efficiency in the Naval service, and to provide greater job satisfaction for the employee.

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<sup>9</sup>William E. Mosher and J. Donald Kingsley, Public Personnel Administration (New York: Harper and Brothers, Publishers, 1941), p. 304.



## CHAPTER IX

### LEAVES OF ABSENCE

#### Introduction

Annual vacations have been widely accepted as desirable in both industrial and government employment, not only from the standpoint of increasing efficiency, by allowing for physical and mental recuperation, but for social reasons as well.<sup>1</sup> It is generally agreed by personnel administrators that a liberal vacation policy will pay the organization dividends.

Since ill health is one of the normal expectancies of adult life, provisions for compensated sick time are essential to intelligent employment management. If there is no such provision, often employees who are sick will report to work, endangering their own health and, through contagion, that of their fellow workers.<sup>2</sup>

In the Naval civil service, such vacations, or time-off with pay, are known as leaves of absence. These leaves are governed by detailed regulations, and are classified

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<sup>1</sup>William E. Mosher and J. Donald Kingsley, Public Personnel Administration (New York: Harper and Brothers, Publishers, 1941), p. 366.

<sup>2</sup>Ibid., p. 369.



according to the reasons for which the leave is granted. There are five types of leaves of absence, annual, sick, military, court, and without pay, all of which are discussed in the following paragraphs.

### Annual Leave

Annual leave is granted graded civil service employees for vacations, personal business, or emergencies. Permanent full-time employees earn annual leave at the rate of 26 days for each calendar year. Temporary full-time employees earn leave at the rate of 2½ days for each full continuous month of service.<sup>3</sup>

Accumulated annual leave may be carried forward to be used in succeeding years until it totals 60 days for full time employees.<sup>4</sup>

The commanding officer of each Naval shore activity is responsible for the proper administration of leaves of absence regulations. In practice, heads of departments are usually delegated authority to approve or disapprove leave requests.

Annual leave may be required to be taken by an employee at such times as activities may prescribe as dictated by the

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<sup>3</sup>Navy Civilian Personnel Instructions (Washington: Office of Industrial Relations, Department of the Navy), Instruction 105, p. 3.

<sup>4</sup>Ibid., p. 4.



needs of the Naval service. The following are examples of situations in which a graded civil service employee may be required to use his annual leave:<sup>5</sup>

1. Breakdown of equipment.
2. Lack of material.
3. Transportation strikes.
4. Inclement weather.
5. Shutdowns at industrial activities for retooling or overhaul of equipment.
6. Temporary reduction in workload.

It is the responsibility of the Industrial Relations Department of Naval shore activities to maintain leave records for each employee. The minimum charge for leave is one hour, and additional leave shall be charged in multiples of one hour, not in days. Leave is charged only for regular work days; that is Saturdays, Sundays, holidays and any other non-work days within the leave period would not count against the leave credit.

An employee who retires, resigns, or otherwise is separated from Naval employment, is given a lump-sum payment for his accrued annual leave. This payment is made at his salary rate at the time of separation.<sup>6</sup>

The supervisor and department head have definite responsibilities in the administration of the annual leave

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<sup>5</sup>Loc. cit.

<sup>6</sup>Ibid., p. 20.





program. The employee initiates his request on an "Application for Leave" form, an example of which is shown in Figure 9. This is submitted, first to the immediate supervisor, and then to the department head for approval. Both the needs of the Naval service and the personal needs of the individual must be considered in the approval of leave requests.

Although civil service employees have, under the law, a legal right to the leave, they have a moral obligation to take it at a time when they can best be spared. In most Naval shore activities a leave schedule is prepared based on the preferences of the employees as far as possible, but at the same time keeping an adequate staff on duty. Employees should always be notified well in advance as to their time on the schedule. The skillful scheduling of leave is one of the ways in which executives and supervisors can keep a balance between workload and staff, and get the job done.<sup>7</sup>

The fact that employees may take their leave in a few hours or in one day at a time may be a distinct advantage to the activity. Employees who practice this usually keep their work up to date and do not build up a big "backlog" by taking a longer leave.

Another administrative difficulty is that with a cumulative leave system there is no special fund from which

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<sup>7</sup> Lewis Meriam, Public Personnel Problems (Washington: The Brookings Institution, 1938), p. 156.



6043 <small>(Pay number)</small>	Jane A. Doe <small>(Name)</small>	4/5/51 <small>(Date)</small>
ORGANIZATIONAL UNIT		
Supply Dept. - Control Division		
REQUEST FOR LEAVE		
<input type="checkbox"/> Telephoned <input type="checkbox"/> Emergency <input checked="" type="checkbox"/> Regular TYPE OF LEAVE		
<input checked="" type="checkbox"/> Annual <input type="checkbox"/> Sick <input type="checkbox"/> With- out pay <input type="checkbox"/> Other: <small>FROM (Date and hour) -</small> <small>(Specify)</small> Number of hours <b>16</b>		
4/10/51      0800 <small>TO (Date and hour) -</small>		ADDRESS WHILE ON LEAVE 5632 Selby Court Worthington, Ohio
4/12/51      0800		

I CERTIFY that this absence was due to

- ☐ Necessity of caring for \_\_\_\_\_ during quarantine for \_\_\_\_\_  
(Relationship)      (Disease)
- ☐ Illness which incapacitated me for duty
- ☐ Medical, dental, or optical treatment by:

NAME AND ADDRESS  
OF PRACTITIONER \_\_\_\_\_

APPOINTMENT (Date) \_\_\_\_\_ (Hour) \_\_\_\_\_ A. M.  
P. M.

Failure to obtain physician's certificate for absence in excess of three (3) work days requires employee's explanation under "REMARKS."

It is understood that any false statements contained herein may be construed as an attempt to defraud the Government.

SIGNATURE OF EMPLOYEE Jane A. Doe

**OTHER SIDE MUST BE COMPLETED AS REQUIRED**

☒ Approved      ☐ Disapproved (State reason)

Robert L. Green  
(Signature)

☒ Approved      ☐ Disapproved (State reason)

R. J. Brown  
(Signature)

REMARKS:

FIGURE 9

APPLICATION FOR LEAVE FORM



payments are made for leave. The payment is from the current salary appropriation; hence when employees are on leave, the amount of money available for effective time is reduced by the sum paid for leave.<sup>8</sup> Temporary employees cannot usually be hired to carry the workload. Hence most Naval shore activities encourage their employees to take leave at approximately the same rate as it is earned. The leave schedule mentioned above will help in this.

### Sick Leave

It is the policy of the Navy Department to grant sick leave to civil service employees when they are incapacitated for the performance of their duties by sickness, injury, or pregnancy and confinement, or for medical, dental or optical treatment or examination, or when a member of the immediate family of the employee is afflicted with a contagious disease and requires the care and attendance of the employee, or when through exposure to contagious disease, the presence of the employee at his work would jeopardize the health of others.<sup>9</sup>

Permanent and temporary full-time employees earn and are credited with sick leave at the rate of  $1\frac{1}{2}$  days per

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<sup>8</sup> Ibid., p. 151.

<sup>9</sup> Navy Civilian Personnel Instructions, op. cit., Instruction 105, p. 4.01.



calendar month. Sick leave which accrues during any month will be available at any time during that or any subsequent month. Unused sick leave may be accrued to a total of 90 days. As with annual leave, sick leave is charged in multiples of one hour.<sup>10</sup>

The approval of sick leave is of course the responsibility of supervisors and executives. It is important that such individuals responsible for approving application for sick leave ascertain that the circumstances of the absence justify approval.<sup>11</sup>

An employee who is absent on account of sickness should notify the Naval activity as soon as practicable on the first day of sickness, as soon thereafter as possible. When the employee returns from leave, he submits an application for sick leave on the leave form shown in Figure 9. For periods of absence in excess of three work days the application must be supported by the physician's statement on the reverse of the form. However, if there is reason to believe that an employee is abusing the sick leave privilege, a physician's statement may be required for less than three days absence. All requests for sick leave for routine medical, dental, or optical examination or treatment must be submitted for approval prior to the beginning of the leave.<sup>12</sup>

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<sup>10</sup>Ibid., p. 4.

<sup>11</sup>Ibid., p. 4.01.

<sup>12</sup>Ibid., p. 5.





Thus the supervisor is responsible to see that the privilege of sick leave is not abused. But the greater majority of civil service employees are fair, and abuse of the privilege does not occur too often. On the other hand, there is the problem of conscientious employees reporting to work while ill. These people are risking their own health and that of their fellow employees. Hence the supervisor must persuade them to stay home until well.

### Military Leave

Military leave is approved absence with pay from official duty of civil service employees who are members of the National Guard or reserve units of the Army, Navy, Air Force, Marine Corps, or Coast Guard for days on which they are engaged in training duty. Military leave is not allowable when the employee is on active military duty as distinguished from annual training duty.<sup>13</sup>

The application for military leave must be submitted in advance and the employee, on his return, must submit a certified copy of his military orders to such training duty. Military leave is restricted to 15 calendar days, including Sundays, holidays, and other non-work days, in any one calendar year.<sup>14</sup>

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<sup>13</sup> Ibid., p. 7.

<sup>14</sup> Ibid., p. 9.



Administrative problems arising from the use of military leave are not great. Often the employee, and hence the supervisor, has no control over the dates of the training period, as they are set by the military organization. On occasion however, the employee may request training duty at a certain time. In these cases, the military leave should be worked into the annual leave schedule. In either case, the dates are usually known far enough in advance for the supervisor to do intelligent planning.

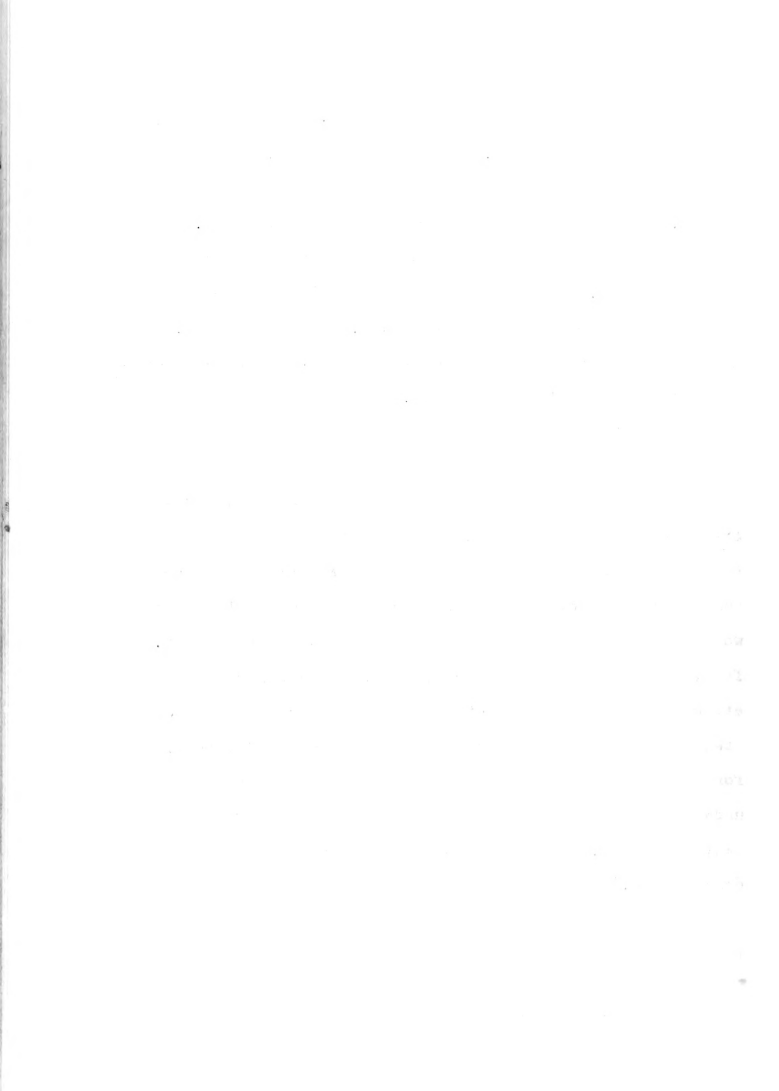
### Court Leave

The Navy Department considers that jury duty is a civic responsibility and it is the policy of the Department to request release from jury duty for eligible employees only in these exceptional cases where the public interest would be better served by an employee staying on the job. Thus, when a civil service employee is absent from duty in attendance in court as a witness on behalf of the United States or of the Government of the District of Columbia, or for jury duty in any state court, or in any court established under the laws of the United States, he is granted court leave with pay. Only permanent employees are entitled to court leave.<sup>15</sup>

Employees may not be granted court leave if their attendance at court is due to voluntary action, or to appear

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<sup>15</sup> Ibid., p. 10.



as a witness for private litigants or non-federal parties. Such leave must be charged to annual leave or leave without pay.<sup>16</sup>

As can be seen, the administration of court leave is very simple. In the first place, it is a rather rare occurrence. In the second place, in making application for court leave, the employee must submit a copy of the official summons. Hence, the supervisor has an immediate verification of the validity of the leave request.

#### Leave Without Pay

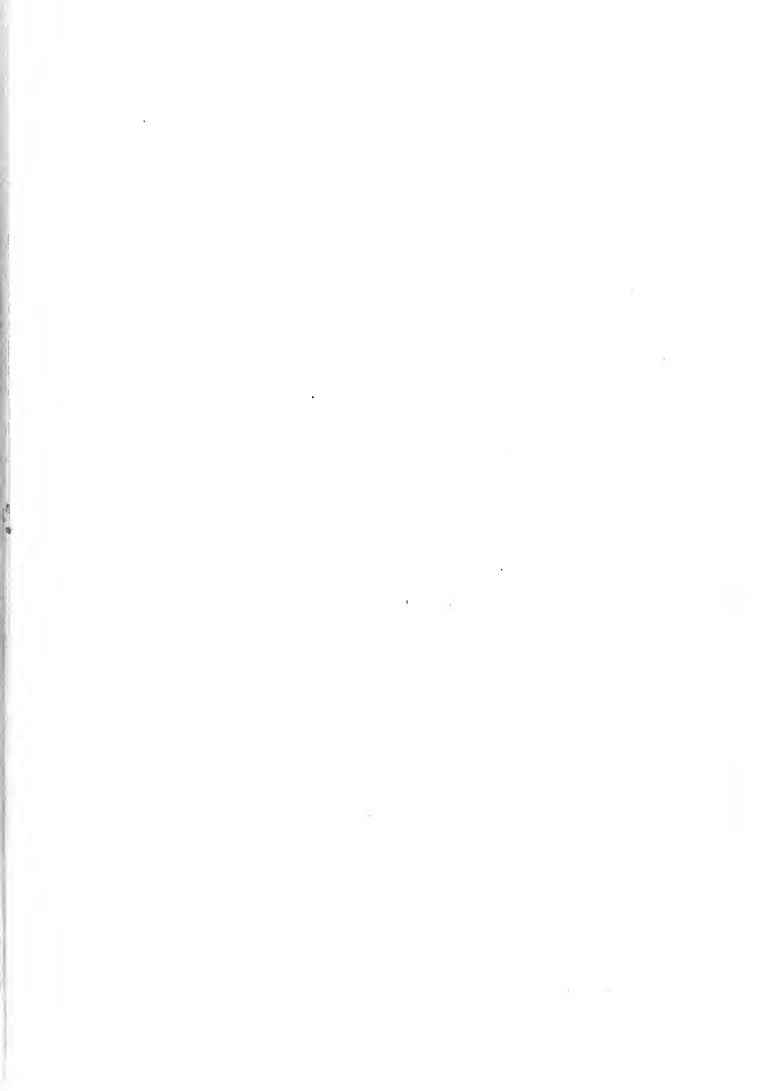
It is a policy of the Navy Department to permit the granting of leave without pay at the discretion of the individual Naval activities. However, this is not a right which may be demanded by employees. Leave without pay should be granted only when the services of the employee may be spared, if continued employment would be injurious to the health of the employee, or when personal circumstances exist which call for leave without pay. Any requests for such leave in excess of 90 calendar days must be forwarded to the Office of Industrial Relations for approval.<sup>17</sup>

Leave without pay is also a rare occurrence, as most employees have ample annual or sick leave to their credit to

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<sup>16</sup> Ibid., p. 12.

<sup>17</sup> Ibid., p. 15.



provide for most contingencies. In considering requests for leave without pay, supervisors and executives must be sure to weigh all factors concerned with intelligence and judgment.

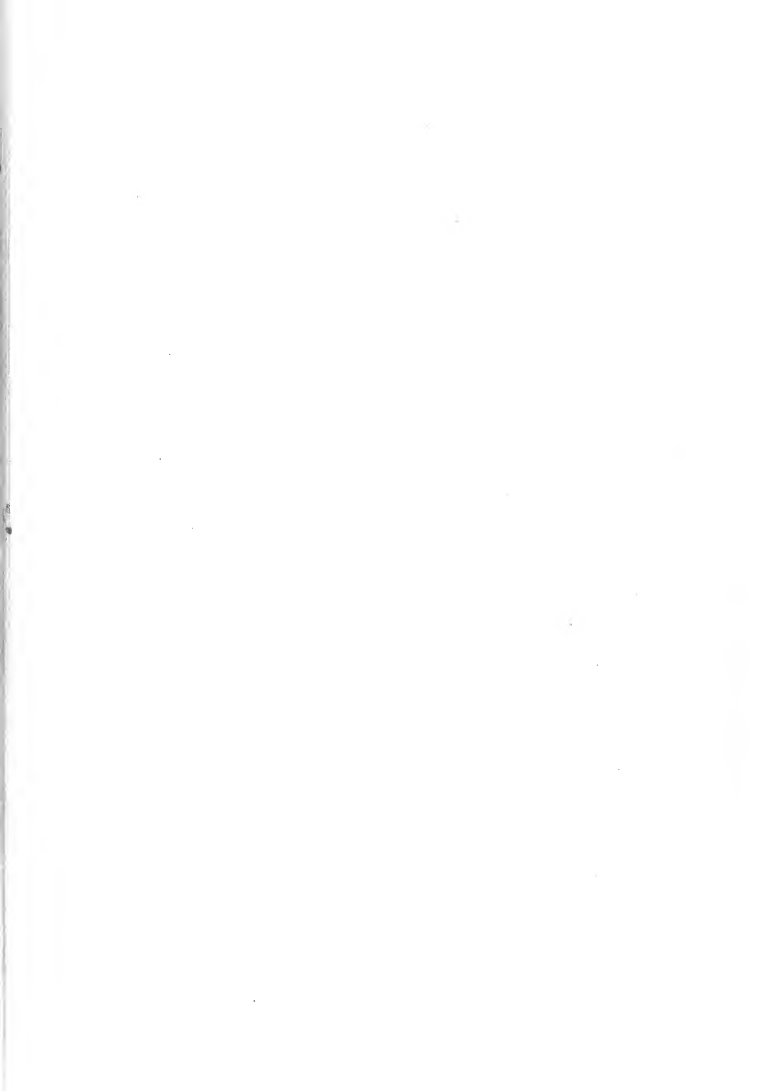
### Summary

From the above discussion, it may be seen that the leave policy of the federal government is most generous. But like any kind of personnel action it is subject to abuse or misuse if the administration of the policy and plan is not carried out intelligently, impartially and with judgment. This is the responsibility of supervisors and executives, whether they are civilian employees or Naval officers.

It is then that the Navy can benefit from a policy which is dictated not only by humane and social considerations, but even more forcefully by considerations of the good of the service. A liberal annual (or vacation) leave policy, for example, is a bulwark against stagnation and dissatisfaction, and a positive means of improving attendance throughout the year. Moreover, the opportunity which such a policy affords for putting subordinate employees in more responsible positions on temporary assignment, can play an important part in the administration of promotions.<sup>18</sup>

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<sup>18</sup> Mosher and Kingsley, op. cit., p. 369.





## CHAPTER X

### DISCIPLINARY ACTION, GRIEVANCES, AND APPEALS

#### Disciplinary Action - Principles

Every Naval activity needs the kind of discipline that is present when employees willingly carry out the instructions of their supervisors and abide by established and known rules and regulations.<sup>1</sup>

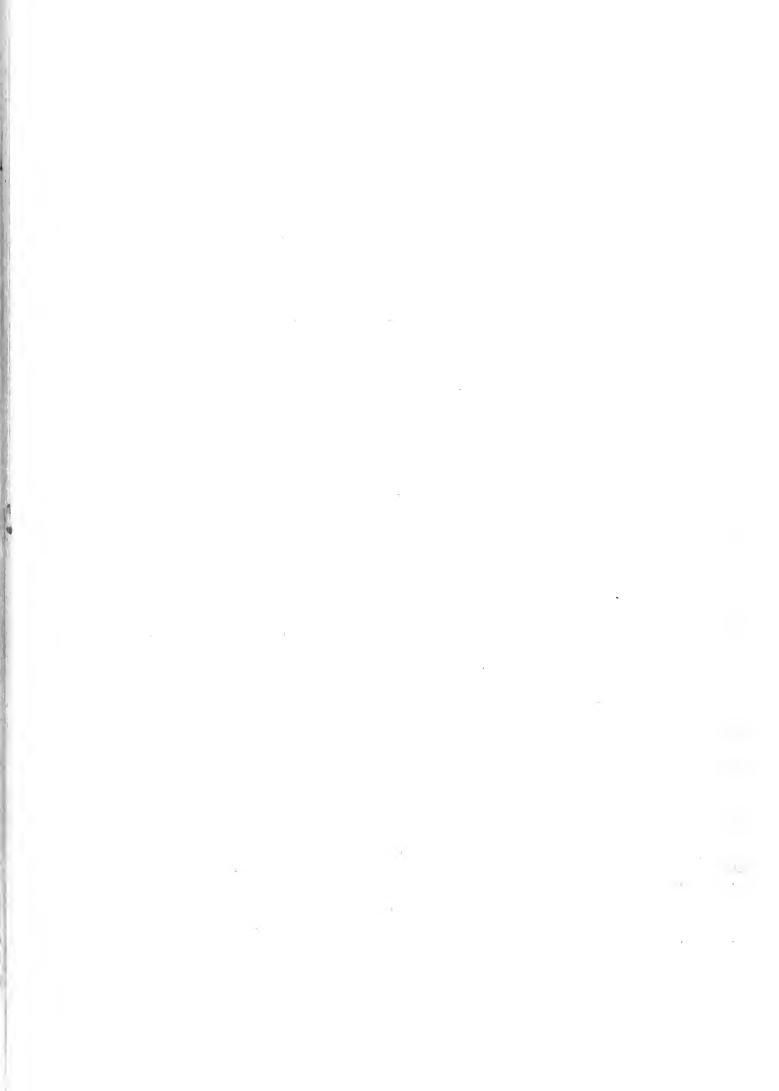
There are two ways of achieving good discipline. The first is the use of positive motivation consisting mainly of constructive, positive leadership. This discipline is a force that develops within the individual and causes him to conform to rules, regulations, and high standards of work and behavior.<sup>2</sup> The majority of employees in most organizations want to conform, and respond to positive motivation. They are self-disciplined.

However, in every organization there are usually a few individuals who will not develop self-discipline and who will not conform for their own good and the good of the

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<sup>1</sup>Paul Pigors and Charles A. Myers, Personnel Administration (New York: McGraw-Hill Book Company, Inc., 1947), p. 198.

<sup>2</sup>Frank Cushman and Robert W. Cushman, Improving Supervision (New York: John Wiley and Sons, Inc., 1947), p. 174.



organization. These people must be held in line by the second method of achieving good discipline, the process usually called disciplinary action.

Disciplinary action has been defined as the step or steps taken by management as an attempt to correct the disobedience of an employee or employees.<sup>3</sup> Disciplinary action is a negative action, based on fear, and should be used only when all means of positive motivation have been exhausted. It involves the use of penalties and should be used with caution. The most effective approach to the problem of discipline and morale rests in keeping employees fully and constantly informed of the standards of conduct and performance expected of them.<sup>4</sup>

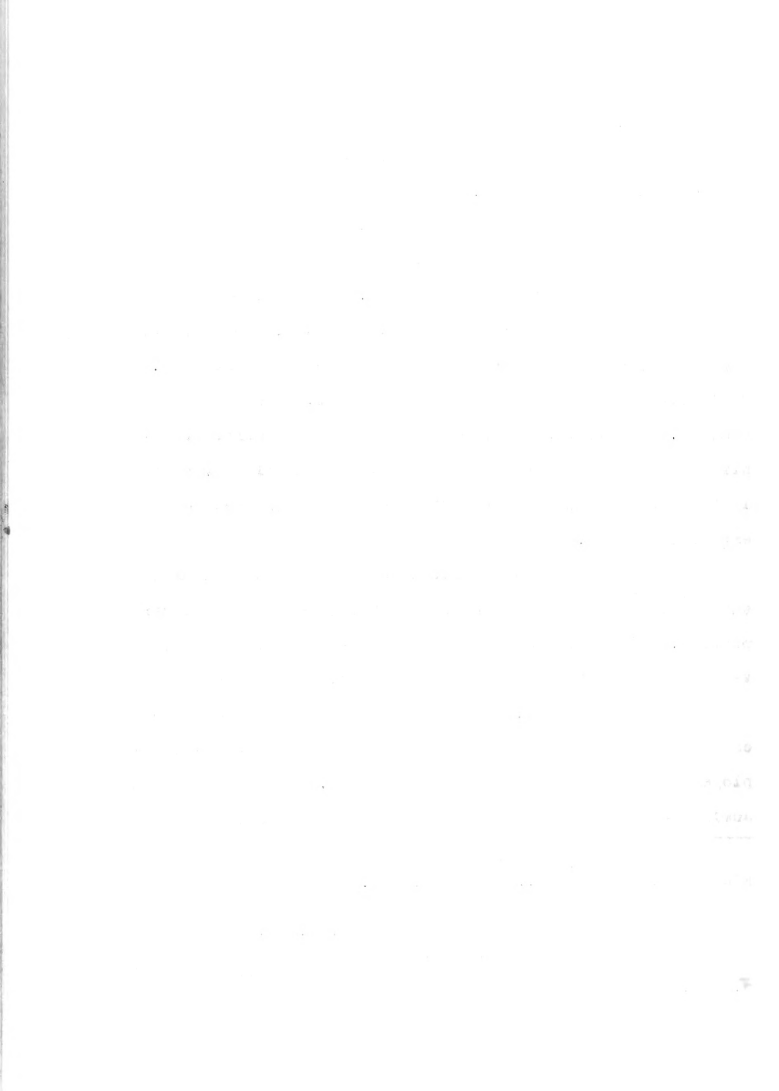
There is one fundamental emphasis which underlies the entire managerial and supervisory handling of a disciplinary problem. It should be administered with the educational, preventive, and positive attitude uppermost, rather than the corrective or punitive. The handling and disposition of each case of disciplinary action should attempt to leave each employee more understanding and cooperative.<sup>5</sup> Thus in the proper administration of disciplinary action each supervisor and

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<sup>3</sup>Michael J. Jucius, Personnel Management (Chicago: Richard D. Irwin, Inc., 1947), p. 491.

<sup>4</sup>Personnel Administration (Washington: Bureau of Naval Personnel, Department of the Navy, 1949), p. 56.

<sup>5</sup>Ordway Tead and Henry C. Metcalf, Personnel Administration (New York: McGraw-Hill Book Company, Inc., 1933), p. 217.



supervisor and executive has a great deal of responsibility.

In Naval shore activities the immediate supervisor is responsible for maintaining good discipline among his subordinate civil service employees and also for initiating appropriate disciplinary action on those occasions which demand it. In order to carry out this function, supervisors must understand the purposes of disciplinary action and know the Navy policy on the subject. This means that all management personnel above the first line supervisor must insure that their subordinate supervisory personnel have the training for such responsibilities. The line supervisor may receive a great deal of help from the Industrial Relations Department in matters relating to discipline. However, the line supervisor retains the right of decision; the Industrial Relations Department will make no determination of penalties in cases involving employees of other departments.

#### Stages in Disciplinary Action

Jucius points out that while it is not always possible or practical to follow a set routine in taking disciplinary action, there are certain stages which should be covered in the process. These stages are as follows:<sup>6</sup>

1. Accurate statement of the disciplinary problem.

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<sup>6</sup>Jucius, op. cit., p. 491.



2. Collection of full information on the case.
3. Selection of tentative penalties to be applied.
4. Choosing among the alternate penalties.
5. Application of the penalty.
6. Follow-up of the case.

These stages may well be followed by supervisors at Naval shore activities as they follow the policy established by the Navy Department in disciplinary action.

The first stage is to determine exactly what is the alleged infraction of the rules. It is all too easy to assume a violation when there has been none. The second stage, a continuation of the first, is to determine the facts in the case, not necessarily to prove the employee guilty. Facts on both sides of the case should be brought out.

The next two stages involve a selection of tentative penalties and choosing among the alternate penalties. There are five different penalties which may be applied in cases of disciplinary action among civil service employees. Naturally the gravity or frequency of the offense will determine the severity of the penalty. The more severe the penalty, the higher on the levels of management lies the responsibility of decision. These penalties are as follows:

1. Admonition - An oral reprimand for offenses which are not sufficiently serious to warrant a more severe penalty. An admonition should be administered by the employees' immediate supervisor.





2. Warning - Warnings are issued for more serious offenses than admonitions and must be in writing, must specify the offense, and must be properly dated and signed by an authorized official. A copy of each warning is placed in the personnel folder of the employee concerned.<sup>7</sup>

3. Suspension - A suspension involves an enforced absence without pay on the part of the employee, and may be from one day to several weeks in length, depending upon the gravity and frequency of the offense.

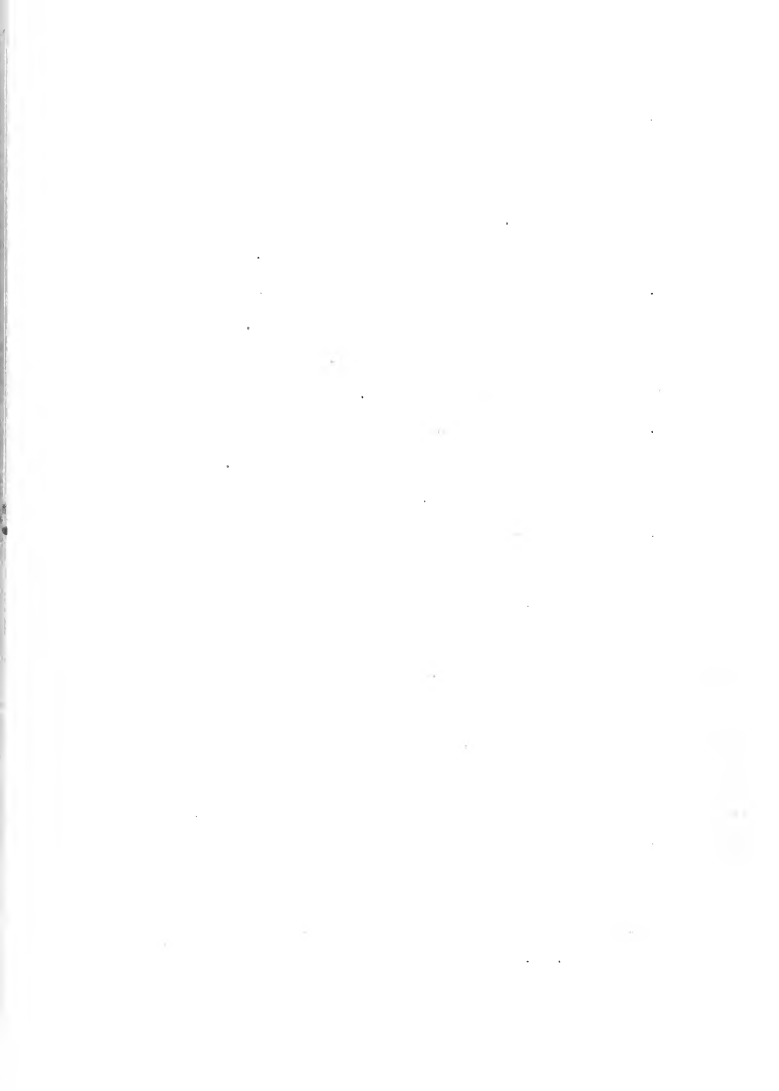
4. Demotion - A demotion involves the reassignment of the employee to another position of a lower grade. He cannot remain in his present position.

5. Dismissal - The most serious penalty is the complete separation of the civil service employee from the employment of the Navy. This drastic action should be taken only after management has decided that the employee cannot be corrected by lesser penalties.

In choosing among the alternate penalties to determine the one to be imposed, the supervisor or executive should choose the minimum which may reasonably be expected to correct the employee and maintain good discipline and morale. The employee's work history, character, and potential value to

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<sup>7</sup>Navy Civilian Personnel Instructions (Washington: Office of Industrial Relations, Department of the Navy), Instruction 45, p. 9.



the Navy should be considered in determining the penalty.<sup>8</sup> And as stated above, dismissal should be used only as a last resort.

In order to insure that like penalties will be imposed for like offenses throughout the Navy, to develop on the part of employees a clearer understanding of what constitutes reasonable cause for disciplinary action, and to support management in its administration of disciplinary matters, the Office of Industrial Relations has published a Standard Schedule of Disciplinary Offenses and Penalties as an enclosure to Instruction 45.<sup>9</sup> The schedule has a sufficiently wide range of penalties which should allow Naval activities a great deal of flexibility in dealing with particular situations, but does, at the same time establish standards.

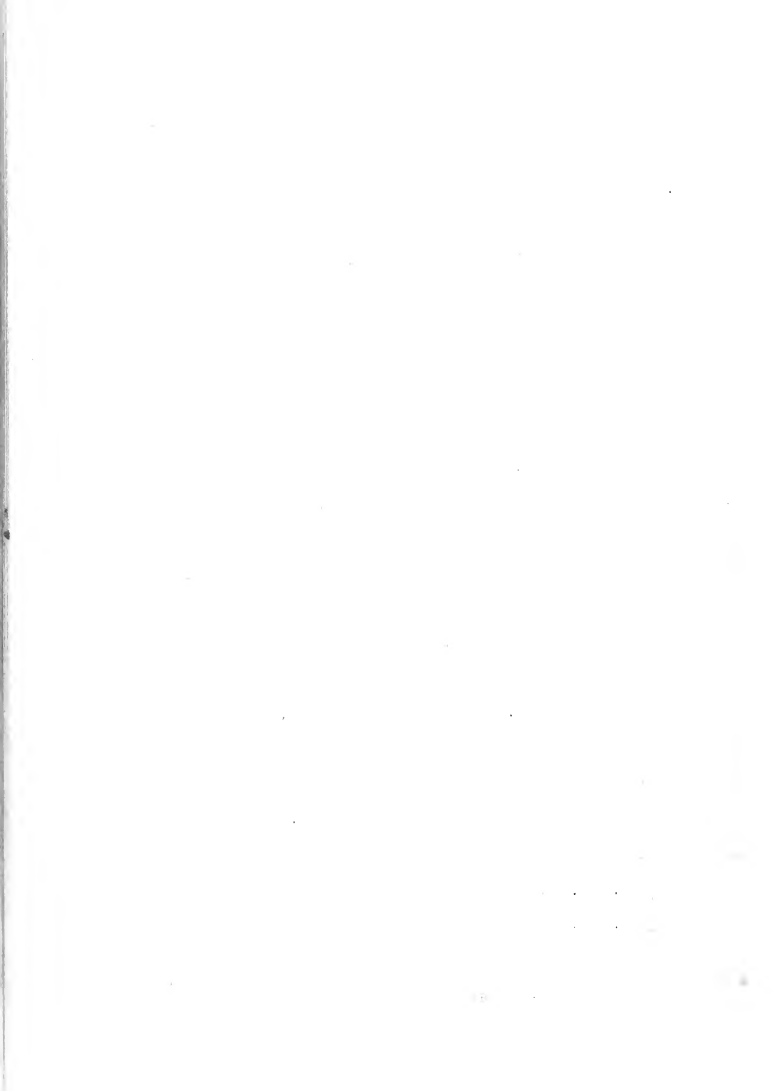
The next stage, application of the penalty, should be taken as quickly as possible, for the effectiveness of disciplinary action depends to a large extent on the promptness with which it is taken. The Navy Department, in order to achieve and maintain better supervisor-employee relationships, has directed that employees will receive discipline only from or through their immediate supervisors.<sup>10</sup> Of course,

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<sup>8</sup> Ibid., p. 3.

<sup>9</sup> Ibid., p. 8.

<sup>10</sup> William E. Mosher and J. Donald Kingsley, Public Personnel Administration (New York: Harper and Brothers, Publishers, 1941), p. 542.



in more serious cases, the ultimate decision as to a penalty is made by a higher line official. By working through the immediate supervisor there is less confusion, employee dissatisfaction, and avoids a loss of confidence and prestige on the part of the supervisor.

The final stage in disciplinary action is follow-up to see that the action was successful. That is, did it help to develop good discipline and morale? Such a follow-up is best done by casual observation of the employee by his immediate supervisor.

Should the employee wish to appeal a disciplinary action, he must proceed through the stages discussed in the next section.

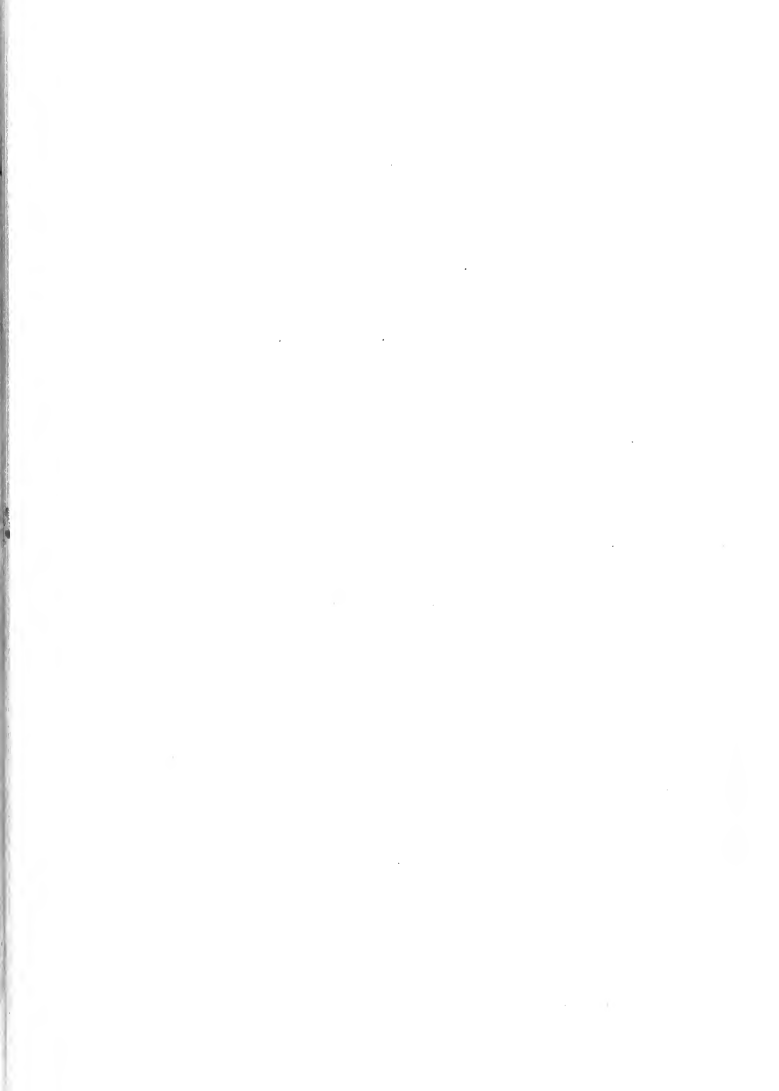
### Grievances and Appeals

If carried out improperly, or even properly for that matter, disciplinary action frequently results in a grievance. And then there are also those innumerable grievances which are bound to arise in the day-to-day management-employee relations. As Mosher and Kingsley put it, "Where any considerable group of human beings are intimately thrown together, maladjustments are bound to arise."<sup>11</sup> In order to handle them, supervisors must be able to recognize a grievance. What then exactly is a grievance?

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<sup>11</sup>

Ibid., p. 542.



Glenn Gardiner, in his book on the subject, has given the following inclusive definition:<sup>12</sup>

1. Anything about a man's job which irritates him or tends to make his working conditions unsatisfactory may be a grievance.

2. A grievance may exist even though no verbal or written complaint is presented. Such silent or unuttered grievances may be as destructive of good will as the grievance which is aired.

3. Even though the grievance may be imaginary, or based on lack of knowledge of facts, it is a grievance, none the less, until properly cleared up.

4. If a worker thinks he has a grievance, he may be as discontented as though he has a just grievance and the same careful handling is necessary.

5. A grievance may be trivial or important, affecting an individual or a group, caused by fellow-workers or management, financial or non-financial, imaginary or real - but it is a grievance in any case, and requires fair, open-minded, patient, considerate treatment.

It may be seen from the above statements that grievances may arise from anything, they may be unexpressed or imaginary, they may be over something large or small. But they are important to both management and employees.

Good personnel management requires that employees be allowed the right to have their grievances considered. A former Deputy Chief of the Office of Industrial Relations, Captain W. H. Von Dreele,<sup>13</sup> has listed five reasons why the Navy believes in an effective grievance and appeal procedure: His reasons are as follows:

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<sup>12</sup> Glenn Gardiner, How to Handle Grievances (New York: Elliott Service Company, 1943), p. 1.

<sup>13</sup> ONR Newsletter (Washington: Office of Industrial Relations, Department of the Navy, January 1950), p. 3.





1. Such a procedure gives employees an opportunity to blow off steam and it leads to satisfying their complaints.

2. An effective grievance procedure points to the trouble spots in the administrative set-up and keeps management on its toes.

3. It tends, indirectly, to enforce the policies and regulations promulgated by Naval shore activities and the Department and to secure uniformity of interpretation of these regulations.

4. It saves the constant close surveillance by commanding officers and the Department that would be necessary if the procedure did not exist.

5. It tends to negate the political pressures which are continually brought to bear in this emotion-packed area.

The Navy Department recognizes the importance of bringing to light and adjusting grievances promptly. Accordingly, it has established a four stage grievance procedure to enable employees to express their grievances. This procedure is intended to cover grievances, complaints, and misunderstandings that are personal to an individual employee. It is not to be used for those general issues which are normally the subject of consideration by management and groups of employees. Also, grievances resulting from reductions in force, position classifications, and proficiency ratings are not applicable under this procedure, as special means have been established to handle appeals under these



special types of action.<sup>14</sup>

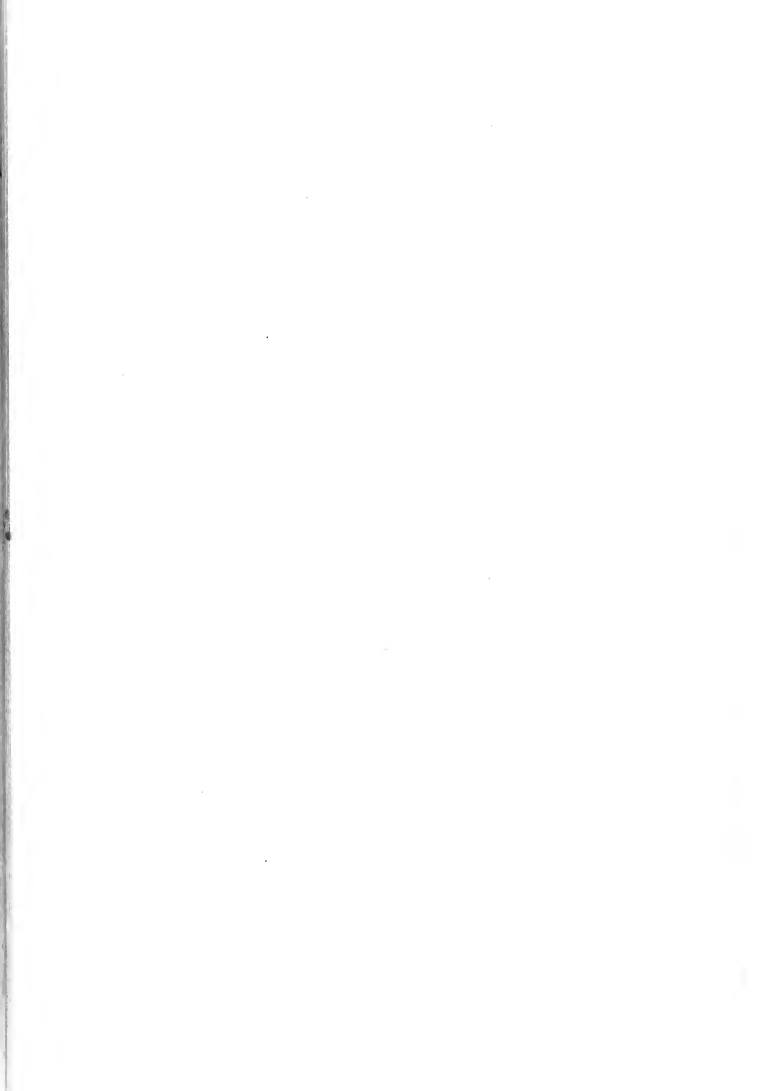
The Navy grievance procedure for civil service employees provides that, in the first stage, the employee shall initially take the matter up with his immediate supervisor who shall make every effort to settle the grievance.<sup>15</sup> As a matter of fact, a large majority of all grievances can and should be settled by the immediate supervisor. He knows more about the job and more about the employee than any one else. A supervisor who can resolve grievances with tact, good judgment, and fairness before they are magnified beyond their true size is invaluable to any organization. In order to strengthen good supervisor-employee relations, top management must insure that all grievances are presented first to the immediate supervisor. Navy Civilian Personnel Instructions require the immediate supervisor to reach a decision on a grievance in two working days.

The second stage in the grievance procedure provides that if the matter has not been settled to the employee's satisfaction at the first stage, and if the employee desires to make a further appeal, he shall submit his appeal, either orally or in writing to his senior civilian supervisor who must arrange for a hearing as soon as possible. The employee is given every opportunity to present his side of

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<sup>14</sup>Navy Civilian Personnel Instructions, op. cit.,  
Instruction 80, p. 1.

<sup>15</sup>Ibid., p. 2.



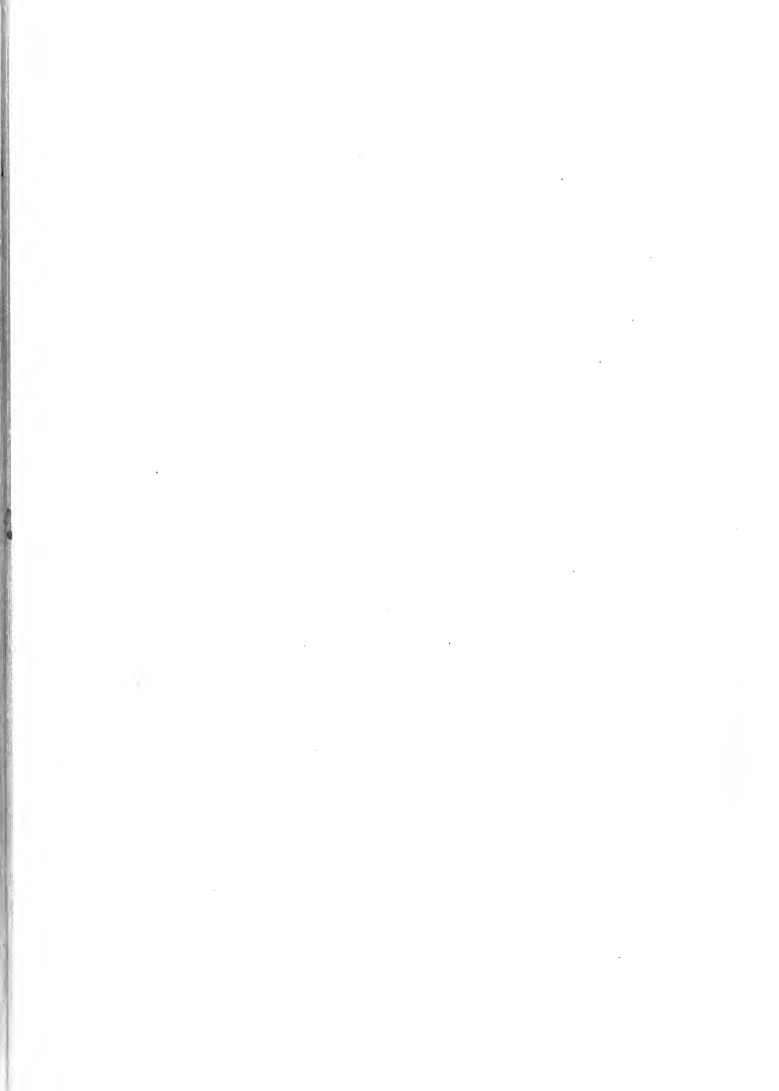
the case and should be informed of all the factors which have influenced management's actions.<sup>16</sup> The supervisor holding the hearing must make every effort to bring out all pertinent facts in order to arrive at a fair, consistent decision. As in the first stage, the supervisor is an important figure in the grievance procedure, and he can settle many grievances with justice for all concerned at this stage in the appeal. He should reach a decision as promptly as possible (NCPI requires one in five working days) and tell the employee why he arrived at his decision. Should the employee be satisfied, the appeal is dropped at this stage.

If the employee is dissatisfied with the decision reached on his grievance by his senior civilian supervisor in the second stage, he may address his appeal in writing to the commanding officer of the activity. This constitutes the third stage of the procedure. This appeal, together with a transcript and papers from the hearing of the second stage, are forwarded to the commanding officer via the department head concerned (normally a Naval officer). The department head reviews the case and makes a decision. If he upholds the employee, the appeal ends here. But if he upholds the decision of the senior civilian supervisor, the appeal is forwarded to the Field Grievance Advisory Committee. This

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Loc. cit.



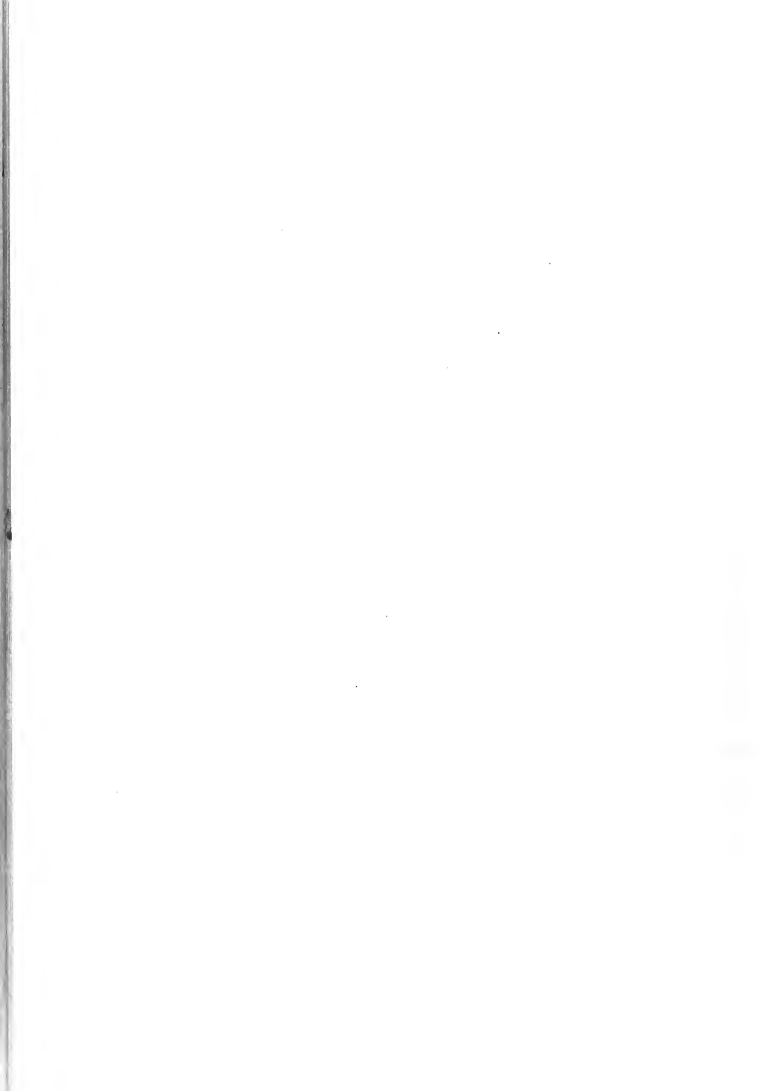
is a three member committee, composed of both officers and civilians, which has the responsibility of holding hearings, investigations, and reviews of grievances and then making a recommendation, including minority reports, to the commanding officer. The commanding officer considers the recommendations of the Committee, and arrives at a decision on the grievance appeal. Again, if the decision favors the employee the appeal is ended. In any case, regulations allow only ten working days for a decision in the third stage.<sup>17</sup>

Should the matter not have been settled to the employee's satisfaction at the third stage, the employee may appeal in writing to the Under Secretary of the Navy via the bureau of the Navy Department which has management control of the activity. All papers previously submitted in the case are also forwarded with the appeal. When the grievance appeal is received in the management control bureau, it is reviewed and again a decision is made. If it favors the employee, the action is ended. If it does not favor the employee, the appeal is forwarded to the Navy Department Grievance Appeal Board in the Office of Industrial Relations. This board reviews the case, makes any further investigations necessary, and makes recommendations to the Under Secretary of the Navy. The final decision is made by that official after a review of the Board's recommendations.<sup>18</sup>

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<sup>17</sup>Ibid., p. 3.

<sup>18</sup>Loc. cit.





As was pointed out several times in the above paragraphs, in most actual cases grievances are settled in the earlier stages, and this is as it should be, for an unsettled grievance is an open sore on employee morale. But if not, this procedure guarantees to every civil service employee the right to carry a grievance to the highest levels of the Navy Department and to receive the utmost consideration in seeking satisfaction.

#### Summary

The importance of the responsibility of supervisory and executive personnel in the proper administration of disciplinary action and grievances cannot be over-emphasized. Handled properly, these two types of personnel action can build a strong, productive work force. Handled improperly, they can be the source of innumerable problems. Disciplinary action and grievances are difficult to handle at best. They require that management be alert, intelligent and understanding, and learn to recognize these problems when they first appear (or before if possible) and apply preventive rather than curative methods.



## CHAPTER XI

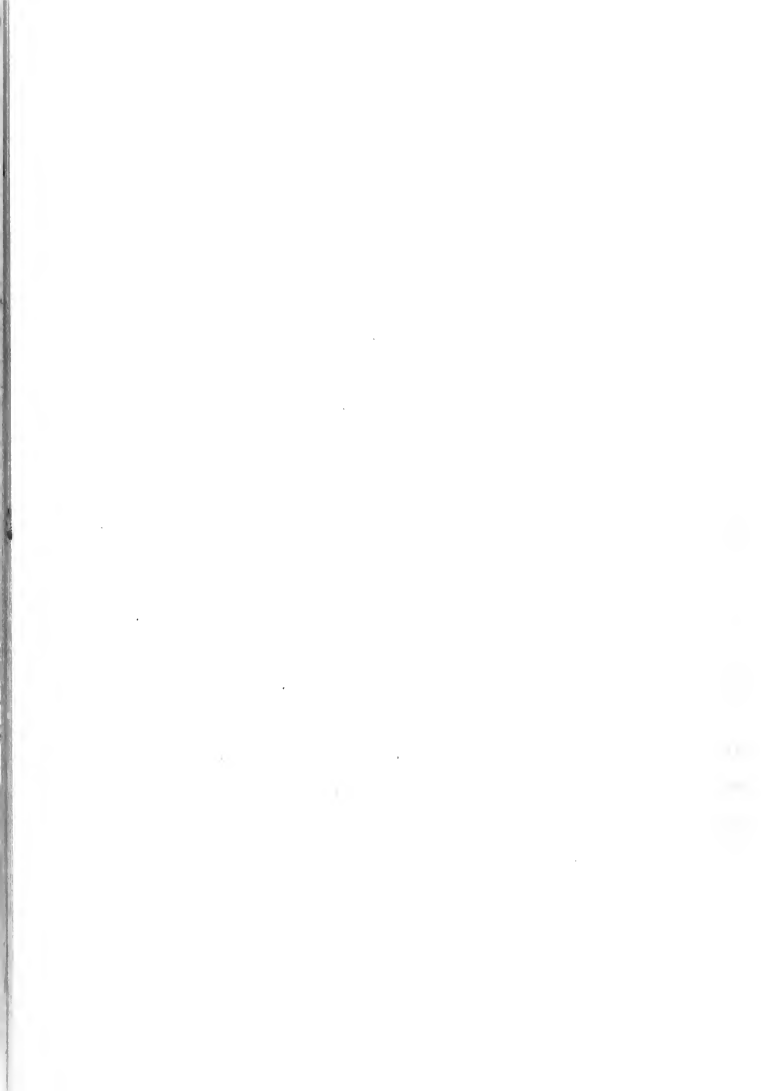
### CONCLUSION - PERSONNEL MANAGEMENT PRINCIPLES AND POLICIES

#### Resume

The preceding six chapters have been devoted to a rather detailed study of six areas of personnel management procedure as used in the employment of graded civil service employees at Naval shore activities. These six areas were selected as being the most important to the Naval officer in his supervisory and executive position.

However, in a detailed study such as has been presented here, it is easy to lose perspective and fail to see each personnel management procedure in the light of the entire personnel program. Hence it is appropriate to summarize these procedures briefly in order to visualize their individual places in the whole program of personnel management. For it must be remembered that in a good personnel program all types of personnel actions are important. The success of one procedure depends upon the subsequent proper performance of other complementary procedures. In other words, good personnel management must be a balanced, coordinated program that permeates all of management and is not just a series of isolated actions.

Position Classification may be termed the first personnel management procedure in connection with graded



civil service employees. The position is basic in management, and must be established prior to employment. Position Classification aims at like pay for like work and responsibility. Line executives play a major role in position classification, as they must plan the position, prepare the position description, review the description, and eventually put the classification into effect after approval by the Area Wage and Classification Office. The importance of position classification may be shown by the fact that to a great extent the accomplishment of the objectives of an activity depends upon how well planned and how well organized are the employee positions to perform the proper and necessary functions.

When a Naval activity must seek employees from outside the organization the personnel procedure of Recruitment and Employment is instituted. Here the line department official plays a major part in selection, induction, and follow-up of the new employees. It is true that staff agencies perform the function of recruitment, but the other three functions are performed primarily by line officials, and they are a serious responsibility. Any organization is only as good as are the people who are in it. The organization of tomorrow is made up of employees hired today. Thus good employee selection will have a lasting effect on the efficiency of the organization. All Naval officers concerned with recruitment



and employment must realize their responsibility.

Performance Rating of civil service employees is of great value to management, to supervisors, and to the employee themselves. Such ratings form the basis for decision in a number of important personnel actions. The success or failure of the Performance Rating Plan depends on how well the line supervisor, whether he is a civilian or a Naval officer, carries out his responsibilities in its administration. A failure here will nullify good management in other personnel procedures. Performance Ratings have a definite place in a well conceived personnel program.

The best source of labor for vacant positions exists within the Naval organization itself in its present employees who may be promoted to higher positions. A system of promotion from within is necessary for the success of any personnel program. The Navy has an excellent plan for such promotion, but it will not succeed unless it is administered fairly, with judgment and foresight, and such is the responsibility of supervisory personnel. All persons on the supervisory level must be constantly aware of the value of promotions to the Navy, to the supervisor, and to the employees.

The leave of absence policy of the federal government is one of the most liberal in the country, both within government, and within private industry. As such, it is a powerful personnel tool which has been placed in the hands of the





supervisor. Properly administered, the leave program can be a great morale builder, and hence an aid to increased efficiency. Improperly administered, leaves of absence can be a great disrupting influence in the organization. Again, as in other types of personnel action, supervisors and executives must do intelligent planning and administration in order to make the leave program a success.

The last types of personnel action discussed in this study, Disciplinary Action and Grievances, involve the line supervisor even more than do the others. He must take disciplinary action, or recommend it to higher authority, if positive means of motivation fail. The supervisor can usually forestall the need for disciplinary action by strong leadership and good personnel management. In the case of a grievance, the alert supervisor can often spot one even before the employee knows he has it. Intelligent handling of grievances on the first line supervisory level will settle most of them there. Thus with disciplinary action and grievances, the supervisor, Naval or civilian, has a tremendous opportunity and a great responsibility. Both actions have a place in the balanced personnel program of the Navy's civil service.

#### Principles and Policies

Are there any personnel management principles or broad guides for judging and applying personnel actions which may



be laid down to assist the Naval Officer in the performance of these procedures? By personnel management principles is meant "the standards of fairness, the basic attitudes of how to deal with people, and the basic knowledge which is brought to bear upon the topics encompassed within personnel management."<sup>1</sup>

One viewpoint on this matter is expressed by a Naval Officer experienced in personnel Management, Rear Admiral W. McL. Hague, Chief of the Office of Industrial Relations, in the following passage which he offers as a L-A-W for judging personnel actions:<sup>2</sup>

First: Is it LEGAL? If it is not in compliance with both the letter and the spirit of the law it must be abandoned. The shrewd tactic designed to circumvent the spirit while staying within the letter of law, regardless of any fancied justification on the grounds of equity, can lead only to grief.

Second: Is it APPROPRIATE -- is it just? Is it appropriate and just not only to the employee named but to all other employees?

Third: Is it WISE? And I use the word "wise" in its biggest sense. Magnanimity is wise, pettiness is unwise; equality of treatment is wise, favoritism is unwise; a generous spirit is wise, vindictiveness is unwise; the warmth of charity is wise, the heat of rancor is unwise.

Take this as your L-A-W of personnel actions: Is it Legal, is it Appropriate, is it Wise? If all personnel actions are tried in the Field by these criteria, you will greatly reduce the number of actions the Under Secretary finds he must reverse.

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<sup>1</sup>Michael J. Jucius, Personnel Management (Chicago: Richard D. Irwin, Inc., 1947), p. 39.

<sup>2</sup>OIR Newsletter (Washington: Office of Industrial Relations, Department of the Navy), August 1950, p. 1.



The passage quoted above helps to give Naval executives a criterion to be used in judging personnel management procedure. But it also seems necessary to have a set of principles which may be followed by the administrator. Without principles, the solution of personnel problems will likely be hit-or-miss. While it is rather difficult to list one particular set of principles which will have universal application, the following ones by a civilian author apply to the Naval situation:<sup>3</sup>

1. Establish fair levels of wages, hours, and working conditions. These are prerequisites of a good personnel program.

2. Add to fairness the appearance of fairness. Fairness overshadowed by an unfair appearance is of little value.

3. Supply employees with relevant information. They need and have a right to know what is going on.

4. Make employees feel worthwhile and related. Let them know they are important to you.

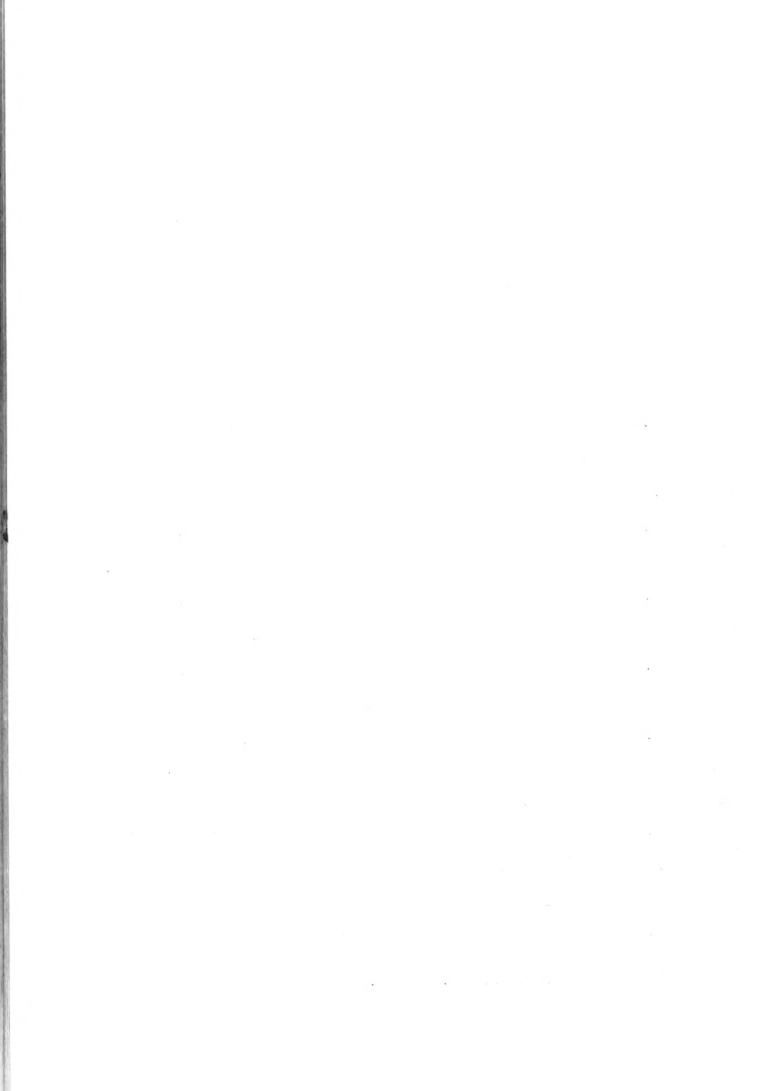
5. Eliminate all traces of "gift-giving." While this does not apply in a monetary way in the Navy, "gifts" may be made of other things.

6. Build programs in terms of the employee's reactions to them. Management must appreciate how employees feel about their own problems.

7. The intelligence or strength of employees should

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<sup>3</sup>Jucius, op. cit., pp. 40-44.



not be underestimated. Such a mistake will lead to many grievances.

8. Allow enough time to transmit, as well as to develop, programs. Policies on which management may spend weeks in developing cannot be assimilated by employees in minutes.

9. Select carefully oral and written expressions. The problem of communications between management and employees is a great one.

10. "Sell" personnel policies to the employees. If an organization has worthwhile purposes and high standards of fairness, they are worth selling to the employees.

By carefully following the ten personnel principles enumerated above, the Naval officer charged with the personnel management of Civil Service employees will have a basic method of handling personnel management procedures.

In fact, the importance of such principles has been fully recognized by the Department of Defense in its written personnel policy for civilian employees. The statement quoted below is from a Secretary of Defense letter of October 13, 1949, and sets forth the policy approved by that official. The principles therein have long been well established in Navy Department policies and this over-all statement brings together the most important points. The statement follows:

The Department of Defense is responsible for the security of our country. Civilian employees share fully in that responsibility. Use of civilian employees affords abilities not otherwise available, assures





continuity of administration and operation, and provides a nucleus of trained personnel necessary for expansion in any emergency. Because civilian employees free military personnel for primarily military duties, they shall be utilized in all positions which do not require military skills or military incumbents for reasons of training, security or discipline.

The establishment of a work environment in which civilian employees will be able to contribute most effectively shall be the responsibility of every person who plans or directs the work of others. Supervisors will provide progressive and constructive leadership to individual employees and shall endeavor to create sound management-employee relationships. They will insure that every employee understands what is expected of him, to whom he is responsible, and his work relationships with his fellow-workers. Productive efficiency can be built only upon a recognition of the individual as the basis of the organization and through application of sound principles of human relations.

The following principles will guide the conduct of human relations in the Department of Defense:

1. There shall be no discrimination because of race, sex, color, religion, national origin, lawful political affiliation, or physical handicap.
2. Employees shall be placed in jobs for which they are best fitted and shall be given opportunities for advancement.
3. Training necessary to insure improved job performance and individual development shall be provided.
4. Appraisal of work performance shall be made fairly and objectively on a continuing basis and such appraisal shall be discussed with employees.
5. Within whatever compensation schedule is applicable, employees shall receive equal pay for work of equal difficulty and responsibility.
6. Working conditions shall be made as safe and healthful as possible.
7. Recognizing that a well-informed work force is a productive work force, employees shall be informed, insofar as possible, of plans and policies affecting them and their work.



8. Employees shall be encouraged to express themselves concerning improvement of work methods and working conditions.

9. Employees shall have the right, without interference, coercion, restraint, or reprisal, to join or refrain from joining any lawful employee organization or association.

10. Any employee having a grievance shall be accorded a fair and prompt discussion with the supervisor immediately concerned and, failing prompt and satisfactory adjustment, he shall have a right to appeal, under established grievance procedure. In presenting a grievance, an employee shall be free from interference, restraint, or reprisal, and he may designate a representative of his own choice to assist him.

Maintenance of sound management-employee relations is not the responsibility of management alone. The Department of Defense recognizes its obligations to its employees. In return, it makes reasonable demands of employees to discharge conscientiously their assigned duties in the most effective manner possible, to respect administrative authority of those directing their work, and to observe the spirit as well as the letter of the law and regulations governing their official conduct.<sup>4</sup>

A comparison of the policy and principles set forth above and those quoted earlier from a civilian source, will emphasize the fact that good personnel management procedures are the same in Naval shore activities as they are in civilian industry.

### Conclusions

From the data developed in this study, the following conclusions regarding the personnel management of graded

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<sup>4</sup>Navy Civilian Personnel Instructions (Washington: Office of Industrial Relations, Department of the Navy), Instruction 1, p. 7.



civil service employees at Naval shore activities may be made:

1. Personnel management in a Naval shore activity is an aspect of management which is concerned with planning, organizing, and controlling the performance of those functions having to do with the procurement, development, maintenance, and utilization of the working force so that the mission of the activity and the personal objectives of the employees may be accomplished with economy and effectiveness.

2. It follows, then, that the objectives of personnel management procedures at Naval shore activities are concerned with the maximum utilization of the human resources, the employees, in the accomplishment of the mission of the activity.

3. Ultimate responsibility for personnel management, or management-employee relations, lies with line supervision and Naval command. Line supervision can make or break any personnel program, no matter how well it may be conceived.

4. The Navy's Industrial Relations Organization, represented at shore activities by the Industrial Relations Department, exists to advise and assist line supervision in its personnel management responsibility. It can be of great aid, but never should assume the right of decision which remains with the line.

5. Civil Service employees are a vital component of the Navy's total resources of manpower. They fill many



important billets in the organization of Naval shore activities and compose the greater majority of the Navy's work force ashore. Hence they are most important to the Naval administrator.

6. Navy personnel management policies and procedures for the administration of civil service employees are excellent and compare most favorably with those of civilian industry. However, their great values may only be realized by alert, intelligent administration by those Naval officers concerned with civil service employees.

7. The six personnel procedures discussed in this study are important in the proper management of shore activities. However, each must play its part in a balanced personnel program.

8. The Naval officer charged with the administration of civil service personnel will find that he needs no new techniques. The principles of managing people are the same whether they are Naval personnel, civil service employees, or workers in civilian industry. Thus, officers who have followed good principles of good personnel management in connection with military personnel should apply those same principles within the framework of the procedures discussed in this study.

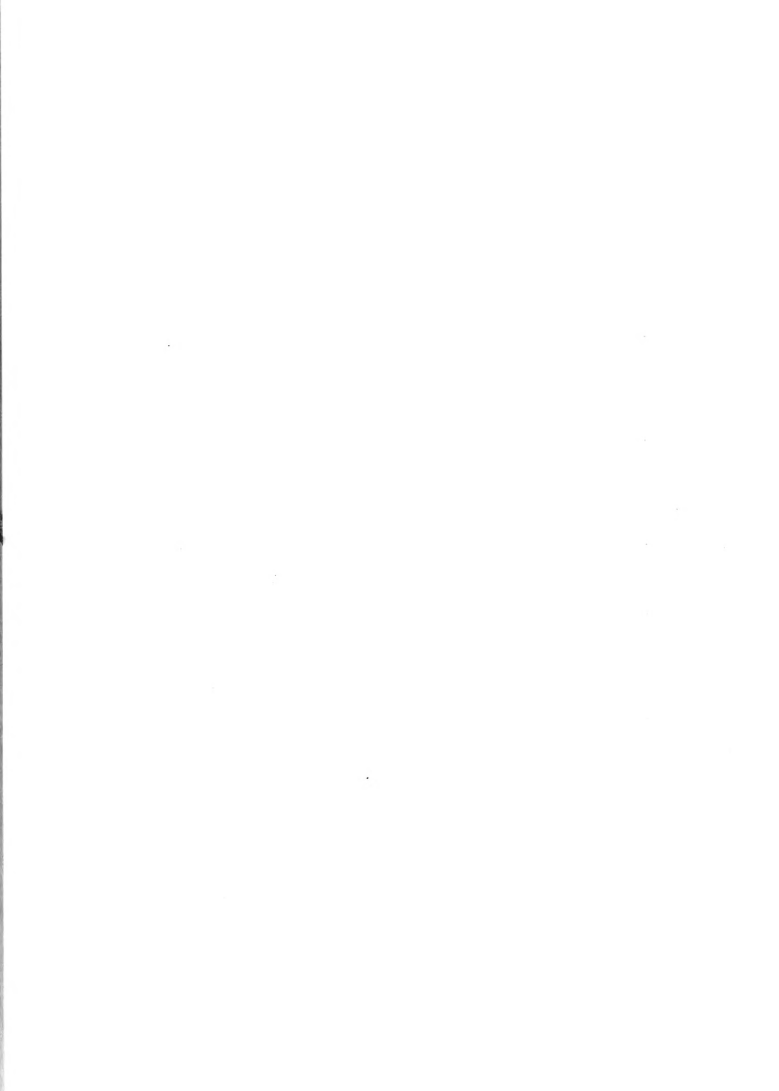




### Recommendations

In order to assist the Naval officer concerned with graded civil service employees to arrive more quickly at that point where "he did us a lot of good," the following recommendations are made:

1. That the Naval officer know, understand, and apply the principles of personnel management discussed in this study.
2. That the Naval officer be familiar with the six important personnel management procedures discussed in this study.
3. That the Naval officer realize the place of each procedure in a coordinated personnel program.
4. That the Naval officer familiarize himself with Navy Civilian Personnel Instructions in order to perform properly his personnel management responsibilities.
5. That the Naval officer utilize the advice and assistance of the Industrial Relations Department in his performance of the personnel management function.
6. That the Naval officer realize that, of all the resources at his command, the human resource is the greatest and most important, and should be treated as such.



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